



Nagar Yuwak Shikshan Sanstha's

Yeshwantrao Chavan College of Engineering

(An Autonomous Institution affiliated to Rashtrasant Tukadoji Maharaj Nagpur University)

Hingna Road, Wanadongri, Nagpur - 441 110

NAAC Accredited with 'A++' Grade

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Summary of 3.3.1

Institution has created an ecosystem for innovations and creation and transfer of knowledge supported by dedicated centres for research, entrepreneurship, community orientation, incubation, etc.

Supporting Documents

1. Policy of Code of Ethics for Research – 2018
2. Policy of Code of Ethics for Research – 2020
3. Policy of Promotion of Research - 2018
4. Policy of Promotion of Research - 2018
5. Policy of Research and Development- 2021
6. Policy of IPR
7. Incubation Policy
8. Policy of Financial Assistance in Open access Journal
9. Policy of Incentives for Publication Related Achievements
10. Policy of Financial Assistance to students for Journal Paper publication
11. Policy of Financial Assistance to students for attending reputed conference
12. Policy of Financial Assistance to students for participating in Design Competitions like Baja, Gokart, Ekart, etc
13. Policy of Financial Assistance to Innovative UG/PG Projects
14. Policy of Financial Assistance for Innovative Minor Patentable Product Development
15. Policy for Industrial/Research Laboratory Sabbatical leave to Faculty members
16. Policy of Financial Assistance for Conference/STTP/Workshop within and outside the country
17. Policy of Financial Assistance for Inhouse Minor Research Project Scheme
18. Policy of Financial Assistance for Innovative Experimental Setup Development
19. Policy of Incentives for Proposals Funded by Government agencies
20. Office orders of Research verticals
21. Research center approval letter
22. Handbook of Ph.D
23. SOP for publication and citations
24. SOP for seed fund for startup
25. SOP of funding proposal division
26. SOP of IPR
27. Turnitin Details



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Dr.U.P.Waghe

Principal





Policy Document – 2018

Policy Name: Code of ethics for research	Policy Category : Faculty & Students
Initial formulation No.& Date: NYSS/CEO/2018-19/--, Dated: 15 Sep 2018	Revision Date : <i>NIL</i>
Policy Statement: Promotion of code of ethics, Academic Integrity and Prevention of Plagiarism in the institution.	

1. Policy Description:

The University Grants Commission has issued a Notification on 31st July 2018 stating "University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutes) Regulations, 2018. Assessment of academic and research work done leading to the partial fulfillment for the award of degrees at Masters and Research level, by a student or a faculty or a researcher or a staff, in the form of thesis, dissertation and publication of research papers, chapters in books, full-fledged books and any other similar work, reflects the extent to which elements of academic integrity and originality are observed in various relevant processes adopted by the Yeshwantrao Chavan College of Engineering Nagpur.

2. Definitions-

In this policy, unless the context otherwise requires -

- a. "Academic Integrity" is the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property;
- b. "Author" includes a student or a faculty or a researcher or staff of Yeshwantrao Chavan College of Engineering, Nagpur, who claims to be the creator of the work under consideration;
- c. "College" means Yeshwantrao Chavan College of Engineering, Nagpur
- d. "Common Knowledge" means a well known fact, quote, figure or information that is known to most of the people;

- e. "Departmental Academic Integrity Panel" shall mean the body constituted at the departmental level to investigate allegations of plagiarism;
- f. "Faculty" refers to a person who is teaching and/or guiding students enrolled in the college, in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc;
- g. "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer generated microfiche;
- h. "Institutional Academic Integrity Panel" shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;
- i. "Notification" means a notification published in the Official Gazette and the expression "notify" with its cognate meanings and grammatical variation shall be construed accordingly;
- j. "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.
- k. "Programme" means a programme of study leading to the award of a masters and research level degree;
- l. "Researcher" refers to a person conducting academic / scientific research in the college
- m. "Script" includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of the college; however, this shall exclude assignments / term papers / project reports / course work / essays and answer scripts etc.;
- n. "Source" means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text

- o. "Staff" refers to all non-teaching staff working in the college, in any capacity whatsoever i.e. regular, temporary, contractual, outsourced etc.;
- p. "Student" means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);
- q. "Year" means the academic session in which a proven offence has been committed.

3. Objectives

- 3.1 To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.
- 3.2 To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism,
- 3.3 To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of the college committing the act of plagiarism.

4. Awareness Programs and Trainings:

- a) The Division of Research Publications shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.
- b) The Division of Research Publications shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.
- c) The Division of Research Publications shall:
 - I. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the College.

- II. Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
- III. Establish facility equipped with modern technologies for detection of plagiarism. Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

5. Curbing Plagiarism

- a. The Division of Research Publications shall declare and implement the technology based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.
- b. The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc. Every student submitting a thesis, dissertation, or any other such documents to the college shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.
- c. The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the college.
- d. Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free, necessary formats shall be made available by the Research Advocacy division.

6. Similarity checks for exclusion from Plagiarism

The similarity checks for plagiarism shall exclude the following:

- I. All quoted work reproduced with all necessary permission and/or attribution.
- II. All references, bibliography, table of content, preface and acknowledgements.
- III. All generic terms, laws, standard symbols and standards equations.

7. Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- a. Level 0: Similarities upto 20% - Minor similarities, no penalty

- b. Level 1: Similarities above 20% to 40%
- c. Level 2: Similarities above 40% to 60%
- d. Level 3: Similarities above 60%

8. Detection / Reporting / Handling of Plagiarism

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the college. The authorities of the college can also take *suomotu* notice of an act of plagiarism and initiate proceedings under these regulations.

9. Departmental Academic Integrity Panel (DAIP)

- i. All Departments in the College shall notify a DAIP whose composition shall be as given below:
 - a. Chairman - Head of the Department
 - b. Member - Senior academician from outside the department, to be nominated by the Principal.
 - c. Member - A person well versed with anti plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

- ii. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- iii. The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.
- iv. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

10. Institutional Academic Integrity Panel (IAIP)

- i. Principal of the College shall notify a IAIP whose composition shall be as given below:
 - a. Chairman - Dean/Senior Academician of the Institution.
 - b. Member - Senior Academician other than Chairman, to be nominated by the Principal
 - c. Member - One member nominated by the Principal from outside the Institution
 - d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Principal.

The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- ii. The IAIP shall consider the recommendations of DAIP.
- iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of the institution.
- v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Principal within a period of 45 days from the date of receipt of recommendation of DAIP/complaint / initiation of the proceedings.
- vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

11. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the Institution only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

11.1 Penalties in case of plagiarism in submission of thesis and dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

- i. **Level 0: Similarities upto 20%** - Minor Similarities, no penalty.
- ii. **Level 1: Similarities above 20% to 40%** - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. **Level 2: Similarities above 40% to 60%** - Such student shall be debarred from submitting a revised script for a period of one year.
- iv. **Level 3: Similarities above 60%** - Such student registration for that programme shall be cancelled.

Note 1: Penalty on repeated plagiarism- Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Note 2: Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Principal.

11.2 Penalties in case of plagiarism in academic and research publications

- I. **Level 0: Similarities up to 20%** - Minor similarities, no penalty.
- II. **Level I: Similarities above 20% to 40%**
 - i) Shall be asked to withdraw manuscript and re-submit after carrying out similarity checks.
- III. **Level 2: Similarities above 40% to 60%**
 - i) Shall be asked to withdraw manuscript.
 - ii) Shall not be allowed to be a supervisor to any new Master's, Ph.D. Student/ scholar for a period of two years.
- IV. **Level 3: Similarities above 60%**
 - i) Shall be asked to withdraw manuscript.

ii) Shall not be allowed to be a supervisor to any new Master's, Ph.D. Student/ scholar for a period of three years.

Note 1: Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Note 2: Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by IAIP and approved by the Head of the Institution.

Note 3: The institution shall create a mechanism so as to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of the institution is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against the Principal of the institution, a suitable action, in line with these regulations, shall be taken by the Management of the institution.

Note 5: If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the Competent Authority.

Note 6: If there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall excuse himself / herself from the meeting(s) where his / her case is being discussed/ investigated.




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Policy Document – 2019-20

Policy Name: Code of ethics for research	Policy Category : Faculty & Students
Initial formulation No.& Date: NYSS/CEO/2019-20/-, Dated: 10 th Sep 2019	Revision Date : <i>NIL</i>
Policy Statement: Promotion of code of ethics, Academic Integrity and Prevention of Plagiarism in the institution.	

1. Policy Description:

The University Grants Commission has issued a Notification on 31st July 2018 stating "University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutes) Regulations, 2018. Assessment of academic and research work done leading to the partial fulfillment for the award of degrees at Masters and Research level, by a student or a faculty or a researcher or a staff, in the form of thesis, dissertation and publication of research papers, chapters in books, full-fledged books and any other similar work, reflects the extent to which elements of academic integrity and originality are observed in various relevant processes adopted by the Yeshwantrao Chavan College of Engineering Nagpur.

2. Definitions-

In this policy, unless the context otherwise requires -

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- c. "College" means Yeshwantrao Chavan College of Engineering, Nagpur
- d. "Common Knowledge" means a well known fact, quote, figure or information that is known to most of the people;

- e. "Departmental Academic Integrity Panel" shall mean the body constituted at the departmental level to investigate allegations of plagiarism;
- f. "Faculty" refers to a person who is teaching and/or guiding students enrolled in the college, in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc;
- g. "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer generated microfiche;
- h. "Institutional Academic Integrity Panel" shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;
- i. "Notification" means a notification published in the Official Gazette and the expression "notify" with its cognate meanings and grammatical variation shall be construed accordingly;
- j. "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.
- k. "Programme" means a programme of study leading to the award of a masters and research level degree;
- l. "Researcher" refers to a person conducting academic / scientific research in the college
- m. "Script" includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of the college; however, this shall exclude assignments / term papers / project reports / course work / essays and answer scripts etc.;
- n. "Source" means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text

- o. "Staff" refers to all non-teaching staff working in the college, in any capacity whatsoever i.e. regular, temporary, contractual, outsourced etc.;
- p. "Student" means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);
- q. "Year" means the academic session in which a proven offence has been committed.

3. Objectives

- 3.1 To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.
- 3.2 To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism,
- 3.3 To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of the college committing the act of plagiarism.

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- a) The Division of Research Publications shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.
- b) The Division of Research Publications shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.
- c) The Division of Research Publications shall:
 - I. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the College.

- II. Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
- III. Establish facility equipped with modern technologies for detection of plagiarism. Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

5. Curbing Plagiarism

- a. The Division of Research Publications shall declare and implement the technology based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.
- b. The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc. Every student submitting a thesis, dissertation, or any other such documents to the college shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.
- c. The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the college.
- d. Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free, necessary formats shall be made available by the Research Advocacy division.

6. Similarity checks for exclusion from Plagiarism

The similarity checks for plagiarism shall exclude the following:

- I. All quoted work reproduced with all necessary permission and/or attribution.
- II. All references, bibliography, table of content, preface and acknowledgements.
- III. All generic terms, laws, standard symbols and standards equations.

The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

7. Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- a. Level 0: Similarities upto 20% - Minor similarities, no penalty
- b. Level 1: Similarities above 20% to 40%
- c. Level 2: Similarities above 40% to 60%
- d. Level 3: Similarities above 60%

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If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the college. The authorities of the college can also take *suomotu* notice of an act of plagiarism and initiate proceedings under these regulations.

9. Departmental Academic Integrity Panel (DAIP)

- i. All Departments in the College shall notify a DAIP whose composition shall be as given below:
 - a. Chairman - Head of the Department
 - b. Member - Senior academician from outside the department, to be nominated by the Principal.
 - c. Member - A person well versed with anti plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

- ii. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- iii. The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.

- iv. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

10. Institutional Academic Integrity Panel (IAIP)

- i. Principal of the College shall notify a IAIP whose composition shall be as given below:
- a. Chairman - Dean/Senior Academician of the Institution.
 - b. Member - Senior Academician other than Chairman, to be nominated by the Principal
 - c. Member - One member nominated by the Principal from outside the Institution
 - d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Principal.

The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- ii. The IAIP shall consider the recommendations of DAIP.
- iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of the institution.
- v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Principal within a period of 45 days from the date of receipt of recommendation of DAIP/complaint / initiation of the proceedings.
- vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

11. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the Institution only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

11.1 Penalties in case of plagiarism in submission of thesis and dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

- i. **Level 0: Similarities upto 20%** - Minor Similarities, no penalty.
- ii. **Level 1: Similarities above 20% to 40%** - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. **Level 2: Similarities above 40% to 60%** - Such student shall be debarred from submitting a revised script for a period of one year.
- iv. **Level 3: Similarities above 60%** - Such student registration for that programme shall be cancelled.

Note 1: Penalty on repeated plagiarism- Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Note 2: Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Principal.

11.2 Penalties in case of plagiarism in academic and research publications

I. **Level 0: Similarities up to 20%** - Minor similarities, no penalty.

II. **Level I: Similarities above 20% to 40%**

- i) Shall be asked to withdraw manuscript and re-submit after carrying out similarity checks.

III. Level 2: Similarities above 40% to 60%

- i) Shall be asked to withdraw manuscript.
- ii) Shall not be allowed to be a supervisor to any new Master's, Ph.D. Student/ scholar for a period of two years.

IV. Level 3: Similarities above 60%

- i) Shall be asked to withdraw manuscript.
- ii) Shall not be allowed to be a supervisor to any new Master's, Ph.D. Student/ scholar for a period of three years.

Note 1: Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the Principal.

Note 2: Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by IAIP and approved by the Head of the Institution.

Note 3: The institution shall create a mechanism so as to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of the institution is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against the Principal of the institution, a suitable action, in line with these regulations, shall be taken by the Management of the institution.

Note 5: If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the Competent Authority.

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Note 6: If there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall excuse himself / herself from the meeting(s) where his / her case is being discussed/ investigated.



Dr. U.P.Waghe
(Principal, YCCE)



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Policy Document – 2018

Policy Name: Promotion of Research	Policy Category : Faculty, staff & Students
Initial formulation No.& Date: NYSS/CEO/2017-18/-, Dated: 15 th Sep 2018	Revision Date : NIL
Policy Statement: Providing structure, systems, guidance and financial assistance for promotion of research among faculty and students.	

Policy Description:

The policy aims at promoting R&D culture amongst the faculty and students of the institution. It is implied that the outcome of the policy shall be resulting in enhancement of R&D related activities.

1. Formation of Research Verticals

R&D Cell at the institute level is divided into five verticals (divisions). All the verticals shall function as per following scope. Each vertical shall have mentor, vertical leader and members. The R&D head of YCCE shall submit details of verticals for subsequent year including list of mentor, vertical leader and members in consultation with vertical leaders to the Head office through the Principal for approval.

2. Details of Research Verticals

i. Division of Research Advocacy

This vertical shall look primarily after Ph.D. programmes in YCCE, Institutional Journal and Research Portal. The vertical shall frame regulations for the Ph.D. scholars and update the same as and when desired.

ii. Division of Research Publications

This vertical shall look after Publications and Citations of faculty and students, plagiarism checks and organizing programmes based for enhancing publications.

iii. Division of Experimental Research

This vertical shall look after funding proposal guidance, drafting and submission, the vertical shall organize programmes for the responsibilities under their domain.

iv. Division of Research Innovation & Incubation

This vertical shall primarily look after IPR, Innovation and Incubation activities of the group and the vertical shall organize programmes for the responsibilities under their domain. The vertical shall put up proposal for seed money to be given to incubates and seek its approval from the Head office, through the Principal. Vertical leader shall monitor proper utilization of the seed money.

v. Division of Industrial Research & Consultancy

This vertical shall primarily look after Industry related Coordination and collaborations, Consultancy in departments and Joint Research with Industry. The vertical shall also organise programmes for enhancement of activities under its domain.

3. Guidelines for functioning of Research Verticals

- i. Research Head, YCCE shall work as overall advisor for Research Verticals and inter-vertical activities.
- ii. The team of Hon. Mentors and Vertical Leaders shall function as coordination team of R&D.
- iii. Faculty members, assigned specific responsibility task in the research verticals, shall carry out work in specific domain under the supervision of Hon. Mentors and Vertical Leaders.
- iv. Vertical leaders shall frame action plan for achieving targets as given in the Five year action plan as well as additional targets given by the HoI and HO. Vertical leaders shall also frame activity calendar as a roadmap to achieve the targets. They shall monitor progress of the targets every month.
- v. The verticals shall propose in-house funding schemes and distribution of seed money as per requirements, make budgetary provisions, and float the schemes with due approval of the management, through the Principal. Overall responsibility of such in-house funding schemes shall be of the vertical leader of the division.

- vi. The research head shall propose annual budget in coordination with the vertical leaders to the Principal. The research head shall monitor proper utilization of the R&D budget.
- vii. The verticals shall explore possibilities of collaborations with Government and private sector institutions and enterprises.
- viii. Monthly meeting shall be held by each vertical to review progress.
- ix. The coordination team shall take review of progress of all activities and targets every month in a meeting with specific agenda points.
- x. The verticals shall also be looking after R&D requirements as specified by the Principal and HO.
- xi. The vertical leaders shall submit detailed report at the end of each academic session covering initiatives, actions taken, targets achieved, budget utilized and difficulties faced during the year to the Research Head.



Dr. U.P.Waghe
(Principal, YCCE)



Principal
Yeshwantrao Chavan
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Policy Document – 2019-20

Policy Name: Promotion of Research	Policy Category : Faculty, staff & Students
Initial formulation No.& Date: NYSS/CEO/2019-20/--, Dated: 9 th Aug 2019	Revision Date : <i>NIL</i>
Policy Statement: Providing structure, systems, guidance and financial assistance for promotion of research among faculty and students.	

Policy Description:

The policy aims at promoting R&D culture amongst the faculty and students of the institution. It is implied that the outcome of the policy shall be resulting in enhancement of R&D related activities and achievement of targets set by the institution.

1. Formation of Research Verticals

R&D Cell at the institute level is divided into five verticals (divisions). All the verticals shall function as per following scope. Each vertical shall have mentor, vertical leader and members. The R&D head of YCCE shall submit details of verticals for subsequent year including list of mentor, vertical leader and members in consultation with vertical leaders to the Head office through the Principal for approval.

2. Details of Research Verticals

i. Division of Research Advocacy

This vertical shall look primarily after Ph.D. programmes in YCCE, Institutional Journal and Research Portal. The vertical shall frame regulations for the Ph.D. scholars and update the same as and when desired.

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3. Guidelines for functioning of Research Verticals

- i. Research Head, YCCE shall work as overall advisor for Research Verticals and inter-vertical activities.
- ii. The team of Hon. Mentors and Vertical Leaders shall function as coordination team of R&D.
- iii. Faculty members, assigned specific responsibility task in the research verticals, shall carry out work in specific domain under the supervision of Hon. Mentors and Vertical Leaders, others shall carry out work assigned by the vertical leader.
- iv. The mentor and vertical leader shall also give specific responsibilities to members as and when desired.
- v. Vertical leaders shall frame action plan for achieving targets as given in the Five year action plan as well as additional targets given by the HoI and HO. Vertical leaders shall also frame activity calendar as a roadmap to achieve the targets. They shall monitor progress of the targets every month.
- vi. The verticals shall propose in-house funding schemes and distribution of seed money as per requirements, make budgetary provisions, and float the schemes with

- due approval of the management, through the Principal. Overall responsibility of such in-house funding schemes shall be of the vertical leader of the division.
- vii. The research head shall propose annual budget in coordination with the vertical leaders to the Principal. The research head shall monitor proper utilization of the R&D budget.
 - viii. The verticals shall explore possibilities of collaborations with Government and private sector institutions and enterprises.
 - ix. Monthly meeting shall be held by each vertical to review progress.
 - x. The coordination team shall take review of progress of all activities and targets every month in a meeting with specific agenda points.
 - xi. All verticals will work in unison and cross vertical help shall be taken at any level.
 - xii. The verticals shall also be looking after R&D requirements as specified by the Principal and HO.
 - xiii. The vertical leaders shall submit detailed report at the end of each academic session covering initiatives, actions taken, targets achieved, budget utilized and difficulties faced during the year to the Research Head.



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Research and Development Policy – 2021

Policy Name: Research and Development Policy	Policy Category : Faculty & Students
Initial formulation No.& Date: NYSS/CEO/2019-20/--, Dated	Revision Date : <i>NIL</i>
Policy Statement: The policy aims at promoting R&D culture amongst the faculty and students of the institution. It is implied that the outcome of the policy shall be resulting in enhancement of R&D related activities and achievement of targets set by the institution.	

Yeshwantrao Chavan College of Engineering (YCCE) was established in 1984 with a vision, “To become the most preferred institution providing innovative, research and value based, professional education for the society at large”. The Institute has developed excellent facilities, both in terms of infrastructure and scholastics. YCCE is committed to the pursuit of excellence in research and aims to achieve international recognition through interdepartmental and inter-institutional collaborative research programmes across the spectrum of Science, Engineering and Technology namely, Mechanical Engineering, Civil engineering, Electrical Engineering, Computer Science and Engineering, Computer Technology, Information Technology, Electronics and Telecommunication, and Sensor Networks and Simulation studies. YCCE encourages faculty members and students to undertake sponsored research projects with a commitment to serve the society. YCCE shall ensure that research in all fields that include trans and multidisciplinary types grows exponentially, keeping the ethical norms and research standards intact.

Aims and Objectives

1. Create an **ambiance** (excellent research ambiance and infrastructure) that encourages research.
2. To inculcate research culture among the students and faculties.
3. To facilitate inter and multidisciplinary research
4. To publish papers in journals of international repute, file patents and transfer technologies to relevant industries
5. To continuously monitor the research outputs for ensuring quality by appropriate committees
6. To create quality human resources for scientific research

7. Improve the status of research in YCCE in the State to the National level.

Regulations relating to the Degree of Doctor of Philosophy (Ph.D.) in the related Faculties of Engineering of YCCE are as per the Regulations for Ph.D. Prescribed by the R.T.M.N.U, Nagpur.

1. Research and Development (R&D) Centre:

To achieve high quality research ambience in the Institute, a Research & Development Centre is set up with the objective of developing the strategic plan for scientific and technology research and ensuring the implementation of such plans. The R&D Centre provides specialized administrative and managerial support for the operation of academic research, sponsored research and other R&D related activities of the Institute. This Centre was established in 2011 as per the decisions taken by the Academic Council.

2. Academic Research

2.1. Doctor of Philosophy (Ph.D.)

- i. A candidate should register at YCCE research centre on getting provisional registration letter from R.T.M.N.U, Nagpur.
- ii. Ph.D. candidates should present their research progress before the review committee constituted by the concerned department once in six months.
- iii. Faculty members with Ph.D. are advised to get supervisorship from R.T.M.N.U., Nagpur.
- iv. Maximum of 8 Scholars are permitted to do research under a supervisor, if he/she is Professor, 6 Scholars are permitted to do research under a supervisor, if he/she is Associate Professor and 4 Scholars are permitted to do research under a supervisor, if he/she is Assistant Professor.
- v. The Research scholars are encouraged to publish their research works in reputed SCI indexed/Scopus/WoS journals and reputed Conferences after getting the approval from their supervisors.
- vi. Research Supervisors are advised to submit the research articles to the journal only after checking the Plagiarism.

vii. Admissions, monitoring progress and thesis submission of scholars shall be governed according to Research Center Handbook. / Regulations duly approved by the Academic Council.

2.2. Institution Fellowship:

The enrollment of full-time research scholars plays a vital role in enhancing the quality of research in the institute. In support of our vision and to strengthen the quality of research and development in all our research centers, Institution Fellowship Scheme is implemented exclusively for full-time Ph.D. Scholars. The institutional research fellowship of Rs.24,000/- per month is given to the Ph.D. Scholars. The institutional fellow has to abide by the Research policies of YCCE.

2.3. Financial Assistance for Publications:

In order to motivate the faculty members towards research and publishing their research findings in reputed journals with impact factor, Financial Assistance are given to faculty members and students

S.N.	Particular	Financial Assistance -	Remark
1	Financial Assistance to students for Journal Paper Publication	Processing fees up to 25% of Article Publication Charges of Journal (Max of 5000/-per publication) - SCOPUS/WOS/SCIE/ESCI/SSCI/AHCI	Financial Assistance of maximum 5 groups of final year for UG and all PG Students/Department once in a year
2	Financial Assistance to faculty members for National/International Conference within country	a) IITs/NITs/IIITs/Government Institutions/Deemed Universities/ Autonomous Institutions: 100% registration fees (subject to max of Rs. 5000/- to first author) + TA/DA b) Self-Financing Institutions: max 3000/ registration fees + TA/DA	Max 3 faculty members/Institute (Max 2/Department) will be allowed to participate in the same Conference

3	Financial Assistance to faculty members for International Conference Outside country	a) Hosted by Professional Societies such as IEEE/ASME/ASCE : a. 35000/Faculty as overall assistance to near by countries, b) 50000/Faculty for counties like USA, UK, Australia and NZ -	Need to apply for travel grant to AICTE and Max 2 faculty/year/institute
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3. Sponsored Research

3.1. Recruitment of a project staff:

- i. All the appointments related to projects (Junior research fellow/Senior research fellow/Research Assistants/Institutional Fellow) will be contractual and on the basis of consolidated monthly emoluments prescribed by the Sponsoring Agency or the institute.
- ii. The tenure of appointment of a project staff will be for the duration of the project.
- iii. The Project staff shall execute a contract agreement on non-judicial stamp paper of value at least Rs. 100/- at the time of joining. The contract may be terminated by either side (Staff or R&D Unit) by giving three months notice or three months consolidated emoluments in lieu of the notice.
- iv. The selection of project staff shall normally be made as per the guidelines provided by the sponsoring agency and with the approval of Principal through the Dean (R&D).
- v. The project staff may be allowed to register for Full-time Ph.D programme, if he/she fulfills all the requirements prescribed by the Institute.

3.2. Salary and Allowances:

- i. A separate book of accounts shall be maintained for each project.
- ii. Overhead charge of the project will be transferred to the 'Funded Project' account.
- iii. Accounts for sponsored projects shall be maintained under five broad budget heads. They are: Salary, Equipment, Contingency & Consumables, Travel and Institutional Charges (Overhead). Minor adjustment in approved budget heads may be permitted by the Principal without violating the norms of funding agency.

- iv. Principal Investigators (PIs) shall arrange to maintain Procurement-cum-purchase Registers and Stock/Asset Register.
- v. Cash advance shall be drawn in the name of PI/Co-PI of the project.
- vi. All expenditures shall normally be made within the proposed date of completion of the project. Exception may be permitted with the consent of the sponsor.

3.3. TA and DA Rules:

The TA & DA will be applicable as per rules to the PIs and project employees for all sponsored research projects related travelling and boarding expenses.

3.4. Accounting and Financial Supports

Benefits to PI/Col:

- i. Depending on availability of funds under Travel head and with the approval of the Principal, expenses (TA, DA, Registration Fee, etc.) for presenting papers in Conferences in fields relevant to the project shall be given to PIs/Col from the project fund.
- iii. On recommendations of PIs and with the approval of Principal, project staff and students in the projects may be permitted to present papers in conferences. If funds are available under Travel head, then TA, DA and Registration Fee support may be provided.

3.5. Incentives for Projects Funded by Sponsoring Agency:

In order to promote research environment and activity of the Institute and motivating the researchers, incentives are given to the faculty members, who have Projects sponsored by sponsoring agencies. 3% incentive for MODROB and 5% incentive for any proposal/project funded by the Government funding agencies

4. Faculty Development & Research Interactions:

To get expertise in specific domain and promote the research interest, YCCE is providing financial help (Registration/course Fee and TA/DA) to faculty members attending Workshop. A faculty can avail these benefits once in an academic year. TA/DA and Honorarium is allowed for the experts coming to YCCE for Research Interactions and Collaborative Research works.

5. YCCE SEED MONEY FOR FACULTY MEMBERS

- a. A grant of the research seed money is given to the full-time faculty members of YCCE, under

Scheme	Rs. Lakh
Innovative Minor Patentable Product	3.00
Innovative Experimental Setup	3.00

- b. The call for research proposals would be made by Dean R and D, in the month of Feb and August every year.
- c. All proposals received would be evaluated for their quality by a committee headed by Dean R and D
- d. Recommended applicants will receive the seed grant.
- e. The Project period is one year from the date of sanction and is expected to be conducted by the faculty member himself or herself. Hence no manpower would be supported in the Grant.
- f. It is expected that the grantee shall submit the report of the research done to Dean R and D.

6. Code of Conduct:

The following are the codes of conduct which express the ethical values to be practiced by all staff engaged in academic and/or sponsored research activities at YCCE.

- i. To abide by all the appointment related terms and conditions as approved by Principal.
- ii. To maintain secrecy of the research findings/technical information and to avoid communication of any official document or information to others without permission.
- iii. To commit no form of plagiarism during art-of-work and preparation and dissemination of reports and research articles.
- iv. To practice and promote fairness in research.
- v. To uphold the values of freedom, democracy, equality and respect for diversity.

In case of any breach of code of conduct by any project employees, the Principal may constitute committee of enquiry to initiate disciplinary proceedings against those employees.

7. Curbing Plagiarism

- a. The Division of Research Publications shall declare and implement the technology based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.
- b. The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc. Every student submitting a thesis, dissertation, or any other such documents to the college shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.
- c. The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the college.
- d. Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free, necessary formats shall be made available by the Research Advocacy division.



Dr. U.P.Waghe
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IPR Policy

Yeshwantrao Chavan College of Engineering
(An Autonomous Institution affiliated to RTM Nagpur University)



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ARTICLE 1 - PREFACE

1.1. Context and Institution Mission

- 1.1.1. The core mission of the Yeshwantrao Chavan College of Engineering [“YCCE”] is “To become the most preferred institution providing innovative, research and value based, professional education for the society at large”.
- 1.1.2. The Institution is committed to ensuring that Intellectual Property (IP) emanating from its Research activities is used in support of the objectives set out and in accordance with its legal obligations, for the benefit of the Institution, the Creators and, most importantly, society-at-large.

1.2. Purpose of the IP Policy

- 1.2.1. **Promotion of IP utilization.** The intent of the IP Policy is to facilitate the widespread use of, through various modalities of access to, the Institution’s IP.
- 1.2.2. **IP management.** The IP Policy seeks to set the framework for the translation of the IP arising from the Institution’s Research into products, services and processes. It encourages Staff Members, Students and Visitors to become Creators and to identify IP with potential commercial value. It also establishes clear rules and procedures for the management and Commercialization of such IP generated at the Institution.
- 1.2.3. **Balance of interests.** The IP Policy seeks to ensure the legal protection, where applicable; effective management and Commercialization of Institution IP; while at the same time not impeding with the traditions of education and scholarship, academic freedom, open and timely publications, Institution sovereignty, and the Institution’s mission serving the public interest.

1.3. Overall Principles

The Institution operates under the following overall principles:

- 1.3.1. **Responsible Commercialization.** Where IP arises that has commercial potential as a result of Research, the Institution intends to make such IP available in a form that will most effectively promote its development and use for economic and social benefit.
- 1.3.2. **Incentives.** The Institution wishes to recognize and reward Staff Members, Students and Visitors whose IP generates a demonstrable socio- and/or economic impact.

- 1.3.3. **Local development.** The Institution encourages Research that responds to the local, regional and national needs. In its efforts to Commercialize Institution IP, the Institution shall seek to optimize the economic and societal benefits.

ARTICLE 2 - DEFINITIONS

Without prejudice to any applicable laws, in this Policy the definitions set out below shall apply:

Appointment. A formal agreement for a Visitor at the Institution, which is a prerequisite to participate in or conduct Research, scholarship, creative work, or teaching at the Institution.

Author. Any person to whom this Policy is applicable, who individually or jointly with others makes a design, a mark or copyrightable work and who meets the criteria for authorship under the IP laws of India.

Background IP. Any pre-existing IP created before the execution of any Research Project, or prior to a Creator becoming subject to this IP Policy, by virtue of Appointment in the case of a Visitor, employment contract in the case of a Staff Member, or registration in the case of a Student.

Commercialization. Any form of utilization of IP intended to generate value, which may be in the form of a marketable product, process or service, commercial returns, or other benefit to society. **Commercialize** is similarly defined.

Commercialization Entity. A company that has access to the IP of the Institution, through any one or more of the available Commercialization modes, to produce new products, processes or services. This can be a spin-off or start-up.

Conflict of Commitment (COC). Any situation in which an individual Staff Member's or Visitor's primary professional loyalty is not to the Institution because the time devoted to outside activities adversely affects their capacity to meet their responsibilities as set out in their employment contract of Appointment, respectively.

Conflict of Interest (COI). Any situation in which real or perceived interests of an individual Staff Member, Visitor or Student may run counter to the interests of the Institution or negatively affect their employment or duties.

Course Materials. All materials used in, or in connection with, and for the purpose of, teaching an education course through the provision of lectures, tutorials, seminars, workshops, field or laboratory classes, assessments, practicum and other teaching activities conducted by the Institution; and all IP in such materials.

Creator. Any person to whom this Policy is applicable, who creates, conceives, reduces to practice, authors, or otherwise makes a substantive intellectual contribution to the creation of IP and who meets the definition of 'inventor', 'author' or 'breeder' as generally implied in the IP laws of India.

Enabler. Any assistants, technicians, and other individuals who have indirectly contributed to the creation of IP by Creators - and as such may not be listed themselves as an author or inventor in terms of statutory IPRs - mainly through the execution of standard tasks or following through on specific instructions, but without whose practical contribution the Commercialization would not have been possible.

Genetic Resources (GRs). “Genetic material of actual or potential value.” Genetic material is defined as “any material of plant, animal, microbial or other origin containing functional units of heredity”.¹ Some GRs are linked to traditional knowledge (TK) through their use and conservation by indigenous peoples and local communities, often over generations, and through their widespread use in modern scientific Research. Examples include medicinal plants, agricultural crops and animal breeds.

Gross IP Revenue. All revenue received by the Institution on Commercialization of Institution IP before any deductions for IP Expenses, as defined in Article 10.

Institution. YCCE

Institution IP. IP owned or co-owned by the Institution.

Intellectual Property (IP). All outputs of creative endeavor in any field at the Institution for which legal rights may be obtained or enforced pursuant to the law. IP may include:

- a) literary works, including publications in respect of Research results, and associated materials, including drafts, data sets and laboratory notebooks;
- b) teaching and learning materials;
- c) other original literary, dramatic, musical or artistic works, sound recordings, films, broadcasts, and typographical arrangements, multimedia works, photographs, drawings, and other works created with the aid of Institution resources or facilities;
- d) databases, tables or compilations, computer software, preparatory design material for a computer program, firmware, courseware, and related material;
- e) patentable and non-patentable technical information;
- g) designs including layout designs (topographies) of integrated circuits;
- h) plant varieties and related information;
- i) trade secrets;
- j) know-how, information and data associated with the above; and
- k) any other Institution-commissioned works not included above.

Intellectual Property Rights (IPRs). The proprietary rights that may be granted for an invention, mark, design, plant variety, or other type of IP, should the statutory requirements for protection be met to result in a patent, trade mark, registered design or plant breeders’ right, respectively.

Invention. an Invention that has been implemented, or put to actual, practical use, that results in better products, processes, or services. Such Innovations result in new products, processes, or services that result in better solutions that meet new requirements, unarticulated needs, or existing market needs. The basic difference between an invention and an innovation is that the former is a laboratory creation, whereas an innovation is its actual application in the field.

Inventor. Any person to whom this Policy is applicable, who individually or jointly with others makes an Invention and who meets the criteria for inventorship under the Indian IP law.

IP Disclosure Form. The form to be completed by Creators and submitted to IPR CELL to document their creation.

IP Expenses. All expenses incurred by the Institution in the management and Commercialization of IP for which Gross IP Revenue has been received.

IP Committee. The body within the Institution, set up in terms of Article 4.1, which is responsible for overseeing the drafting, implementation, monitoring and evolution of the Policy, and for providing strategic oversight of the IPR CELL.

IPR Cell. The administrative unit established in terms of Article 4.2, responsible for day-to-day management of all IP-related activities of the Institution under YCCE.

Net IP Revenue. Gross IP Revenue less IP Expenses.

Open Educational Resources (OER). Teaching, learning and Research materials that reside in the Public Domain and that have been released under an open license that permits their free use or modification by others.

Policy. This YCCE IPR policy

Public Disclosure. The communication of information, relating to IP, to external parties. Public Disclosure includes, but is not limited to, disclosure in written or oral form; communication by email; posting on a web blog; disclosure in a news report, press release or interview; publication in a journal, abstract, poster, or report; presentation at a conference; examination of a thesis; demonstration of an Invention at a trade show; or the industrial application of an Invention.

Public Domain. The freely accessible public realm in which works that are not protected by IPRs, either because the rights have been forfeited or because the rights have been expired, are thereby held by the public at large and available for all to use without permission from the Creator or owner.

Research. Any creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications. It comprises three activities: basic research, applied research and experimental development.

Research Contract. Any type of agreement between the Institution and an external party or research sponsor, concerning Research, which could result in IP being created at the Institution. This shall include, but is not limited to, all sponsorships, donorships and collaborations with the external party or research sponsor.

Research Project. Any project that forms the basis of Research undertaken by the Institution and includes projects undertaken by a Student, under the supervision of a Staff Member or a Visitor, as part of a research degree program.

Scholarly Works. All copyright works which are the outputs of academic Staff Members, Students or Visitors, including Research, creative and other outputs in area(s) of his/her expertise.

Senior Responsible Officer. The person at the Institution who has the ultimate decision-making authority regarding IP.

Staff Member. Any person who is under a contract of employment with the Institution including academic, research, technical, administrative and adjunct staff, whether full-time or part-time or on a temporary basis.

Student. Any student registered for an approved course at the Institution.

Substantial Use. Extensive [unreimbursed] use of the Institution's resources which include but are not limited to facilities, equipment, human resources or funds.

Trade Secret. Confidential information not publicly available that has commercial value because of its confidential nature, and which the owner has taken reasonable efforts to keep secret.]

Traditional Knowledge (TK). A living body of knowledge resulting from intellectual activity in a traditional context, which includes know-how, practices, skills, and innovations. TK embodies the traditional lifestyles of indigenous peoples and local communities and is transmitted from generation to generation, often forming part of the cultural and spiritual identity of the community. TK is not limited to any specific technical field, and may include agricultural, environmental and medicinal knowledge. TK also often encompasses knowledge associated with Genetic Resources.

Visitor. Any person who is neither a Staff Member nor a Student of the Institution who engages in work at the Institution, including visiting professors, adjunct and conjoint professors, teachers, researchers, scholars and volunteers; and who concludes an Appointment agreement with the Institution.

ARTICLE 3 – SCOPE OF THE POLICY

- 3.1. **IP.** This Policy applies to all IP generated at the Institution, in particular by Staff Members, Students and Visitors.
- 3.2. **Background IP.** Upon commencing employment, enrolment or an Appointment, Staff Members, Students and Visitors must declare any existing IP they wish to exclude from the application of this Policy due to creation prior to their employment, enrolment or Appointment at the Institution.
- 3.3. **Applicability.** This Policy applies to all Staff Members, Students and Visitors who participate in a Research Project or produce Scholarly Works. Rights and obligations under this Policy shall survive any termination of employment, enrolment or Appointment at the Institution.
- 3.4. **Binding effect of the Policy.** This Policy constitutes an understanding that is binding on the Institution, Staff Members, Students and Visitors, once adopted by the Board or Senate of the Institution, on the following grounds:
 - 3.4.1. **Staff Members.** The Institution shall ensure that the employment contract or other agreement establishing any type of employment relationship between the Institution and Staff Members includes a provision placing Staff Members under the scope of this Policy.
 - 3.4.2. **Students participating in a Research Project.** The Institution shall ensure that Students participating in a Research Project sign an agreement before commencing the project, to the effect that they have read and will comply with the provisions of this Policy, according to Article 5.2.5.
 - 3.4.3. **Visitors.** The Institution shall ensure that Visitors sign an Appointment agreement before commencing any activity at the Institution. Such agreement shall place the Visitor under the scope of this Policy and shall

make reference to this Policy, a copy of which will be made available to the Visitor.

- 3.4.4. **Informed consent.** This Policy shall be included on the Institution's website, the institute Innovation and Incubation Compendium.

ARTICLE 4 – GOVERNANCE AND OPERATION

4.1. IP Committee

- 4.1.1. **Purpose.** The Institution has established an IP Committee to oversee the implementation and evolution of this Policy and provide strategic guidance to the IPR CELL (according to Article 4.2 below).
- 4.1.2. **Composition.** The Expert Committee on IP, chaired by the Honourable Principal, YCCE. And IPR Cell committee.
- 4.1.3. **Responsibilities.** The IP Committee is the ultimate decision-making body in the determination of an IP management and Commercialization strategy for a particular IP.
- 4.1.4. **Meetings.** The IP Committee shall establish regular meetings and also be available for *ad hoc* meetings.

4.2. The IPR Cell:

- 4.2.1. **Purpose.** The Institution shall establish an IPR Cell or designate a function within the Institution or another organization to act as such, to assist the Institution in managing and Commercializing its IP in a form that will most effectively promote its development and use for economic and social benefit.
- 4.2.2. **Responsibilities.** The responsibilities of the IPR CELL shall include, but are not limited to:
- a. Outreach/awareness to Creators;
 - b. Relationship management with Creators;
 - c. IP management;
 - d. Technology marketing and IP contract negotiation;
 - e. IP contract management; and
 - f. IP costs and revenue distribution.

ARTICLE 5 - OWNERSHIP OF IP AND RIGHTS OF USE

5.1. IP Created by Staff Members

- 5.1.1. **Institution ownership.** The Institution owns all IP created by a Staff Member:
- a. in the course and scope of his/her employment; or
 - b. making Substantial Use of the Institution's resources.

- 5.1.2. **Staff Member ownership.** Staff Members will own/co-own the IP they have created when such IP:
- is outside the course and scope of their employment and without Substantial Use² of the Institution's resources;
 - vests in Scholarly Works (see Article 5.5);
 - Other IPRs, as required by national law, or for which the Institution cannot or does not wish to claim ownership and the Institution has communicated such in writing.
- 5.1.3. **IP emanating from Research Contracts.** Where there is no Substantial Use of the Institution's resources, the terms of the Research Contract will regulate ownership of IP created by Staff Members in the course of a Research Project that forms part of a Research Contract, as set out in Article 7.
- 5.1.4. **Appointment of Staff Members at another Institution.**³ It is the responsibility of each Staff Member that holds an honorary or other academic or research appointment at another institution (Host Institution) to bring to the attention of the Host Institution, including its IPR CELL, his/her obligations in terms of this Policy, prior to the tenure at the Host Institution. To the extent that the Host Institution's IP Policy makes a claim on IP created by the Staff Member pursuant to such appointment, the Staff Member shall ensure that the Host Institution negotiates a suitable IP arrangement with the Institution.

5.2. IP Created by Students

- 5.2.1. **Student ownership.** IP created by a Student in the course of study at the Institution (including theses, dissertations and other Scholarly Works) will be owned by the Student. This is in contrast to IP created by a Student in a Research Project, as per Article 5.2.3 below.
- 5.2.2. **Theses or dissertations.**
The Student must submit his/her final thesis or dissertation to the Institutional repository. The Student must grant a royalty-free license to the Institution to reproduce his/her thesis or dissertation and to distribute copies thereof to the public.
- 5.2.3. **Institution ownership.** IP emanating from a Student's Research Project shall be owned by the Institution in the following circumstances:
- if the IP is created by making Substantial Use of the Institution's resources (excluding supervision) and there is no re-imbursement agreement concluded between the Institution and the Student; or
 - if the Research carried out by the Student forms part of the Institution's Research Projects.
- 5.2.4. **IP emanating from Research Contracts.**⁴ The terms of the Research Contract shall regulate the ownership of IP created by a Student in the course of such Research Contract, as set out in Article 8.

² Use will be deemed not Substantial if minimal overhead costs have been incurred by the Institution (such as the use of office space, the library, facilities or traditional desktop computers); only a minimal amount of time has been spent using significant Institution facilities; or the IP has been written or developed in the personal (unpaid) time of the Creator.

³ This means that such Staff Members are a visitor at another institution.

⁴ That is, if the Student is participating in a Research Project under a Research Contract between the Institution and an external entity or research sponsor.

- 5.2.5. **Institution ownership responsibilities.**⁵ If the Institution is the owner of IP created by a Student, in terms of Article 5.2.3 or Article 5.2.4, and hence created in terms of a Research Project or Research Contract, respectively, the Institution shall:
- a. provide the Student with an explanation of the reasons for the assignment of IP rights to the Institution;
 - b. advise the Student to seek independent advice regarding the assignment;
 - c. obtain a deed of assignment from the Student for all IPRs emanating from the Student's Research Contract or Research Project, where relevant, in return for revenue sharing as provided for in Article 10; and
 - d. withdraw the Student from the Research Project or Research Contract if a Student elects not to assign the relevant IPRs to the Institution.
- 5.2.6. **Bursaries/scholarships.** An external party that grants a bursary or scholarship to a Student may elect to own the IP created by that Student in the course of his/her study at the Institution provided the Student and the Institution have consented to the assignment of IP ownership in writing and such consent is not contrary to any applicable local or national law.
- 5.2.7. **Student Owned IP.** IPR CELL may, upon agreement, provide services to Students for their IP.
- a. In the absence of an assignment of the IP to the Institution, the Students and IPR CELL may agree on the specific Commercialization services required, in exchange for an agreed fee being paid to the Institution and/or sharing of Commercialization revenues accruing to the Students.

5.3. IP Created by Visitors

- 5.3.1. **Institution ownership.** Unless otherwise agreed to in writing by the Institution and the Visitor's home institution prior to the tenure at the Institution, Visitors are required to assign to the Institution any IP:
- a. created in the course and scope of their Appointment at the Institution; or
 - b. created by making Substantial Use of the Institution's resources.
- 5.3.2. **Institution IP.** On departure from the Institution, a Visitor must sign and submit to IPR CELL an IP Disclosure form disclosing any IP created, as per Article 5.3.1, whilst at the Institution.

5.4. Special Rules for Course Materials

- 5.4.1. **Institution ownership.** The Institution will own the IP in Course Materials created by a Staff Member or a Visitor, with the exclusion of Course Material that is created from or for Open Educational Resources, in accordance with Article 5.7.1.
- 5.4.2. **Licensed by the Institution.** The Institution grants the Creators of Course Materials a royalty-free, non-exclusive license to use the Course Materials created by them for teaching and Research purposes at the Institution. With the express prior written permission of the Institution, such license may be utilized for commercial purposes outside the Institution.

5.5. Special Rules for Scholarly Works

- 5.5.1. **Publication.** The Institution recognises and endorses the rights of Staff Members, Students and Visitors to publish their Scholarly Works, provided that any Scholarly

⁵ See also Article 3.4.2 of this Policy.

Work which may disclose any possible Institutional IP shall first be cleared by IPR CELL after having an opportunity to protect such Institutional IP according to Article 8.

- 5.5.2. **Institutional repository.** Staff Members, Students and Visitors should endeavor to obtain publishers' permission to include published Scholarly Works in the Institutional repository [whether as a published edition or in pre-publication form].
- 5.5.3. **Licensed to the Institution.** Staff Members, Students and Visitors shall grant to the Institution a non-exclusive, royalty free license to use their Scholarly Works for the Institution's administrative, promotional, Research and teaching purposes.

5.6. Moral Rights

- 5.6.1. **Recognition.** The Institution undertakes to respect and protect the moral rights which copyright law confers on Authors of copyright works.
- 5.6.2. **Rights granted.** The Institution acknowledges that moral rights vest in Authors of copyright works irrespective of the copyright ownership thereof and include:
 - a. the right of attribution of authorship in respect of the copyright works;
 - b. the right not to have authorship of the copyright works falsely attributed; and
 - c. the right of integrity of authorship in respect of the copyright works.
- 5.6.3. **No waiver.** The Institution will not require Staff Members, Students or Visitors to waive their moral rights as a condition of employment, enrolment, Appointment or funding.

5.7. Public Domain

- 5.7.1. **Public Domain.** Institution IP forms part of the Public Domain in the following circumstances:
 - a. if a Research Contract provides that the Research results be placed into the Public Domain; or
 - b. if Staff Members or Visitors made use of OERs or resources licensed through Open Source or Creative Commons Licences and the licensing conditions require release of derivatives into the Public Domain.
- 5.7.2. **Release into the public domain.** The Institution will release IP into the Public Domain in the following circumstances:
 - a. where it is deemed to be in the public interest;
 - b. if the IP has low commercial or other development potential and low prospects of fostering the development of new products or services; or
 - c. if deemed necessary by the Institution.

ARTICLE 6 – PUBLICATION, NON-DISCLOSURE AND TRADE SECRETS

- 6.1. **Right of publication.** The Institution encourages and supports the right of Creators to decide if and when to publish their Research results, in accordance with Article 5.5 above.
- 6.2. **Non-disclosure for IP protection.** In conjunction with the right of publication, Creators should be aware that premature Public Disclosure may result in loss of IP protection rights. Therefore, they are strongly encouraged to make all reasonable

efforts to identify any protectable IP as early as possible, according to Article 8, and shall consult IPR CELL before making any Public Disclosure of potential Institution IP.

- 6.3. **Trade Secrets.** The Institution may designate certain confidential information as a Trade Secret, owned by the Institution. In that event, all Creators will be obligated to maintain secrecy of the Trade Secret and to follow the direction for management of the Trade Secret by IPR CELL.

ARTICLE 7 – RESEARCH CONTRACTS

- 7.1. **Authority.** Staff Members, Students and Visitors shall not have the right to enter into a Research Contract with external parties on behalf of the Institution unless they are authorized to do so by an official representative of the Institution.
- 7.2. **Research Policy.** All Research Contracts must be executed and performed in compliance with the Institution’s Research Policy (where available).⁶
- 7.3. **Due diligence.** Persons acting for and on behalf of the Institution shall exercise all due diligence and consult IPR CELL when negotiating and signing contracts that may affect the Institution’s IPRs.
- 7.4. **Ownership and rights to use.** Subject to any provisions in law to the contrary, ownership and rights to use shall be agreed upon with the external entity, in accordance with contracts/MOU’s signed with external entity.
- 7.5. **Government rules.** Research Contracts shall comply with any applicable law and/or Government regulations and/or rules, which may be applicable to Research undertaken by the Institution, in particular, as far as it relates to the ownership of IP resulting from such Research.
- 7.6. **Approval.** Proposed Research Contract and other legal statements concerning the Institution’s IPRs shall comply with the provisions of this Policy. Any variance from this Policy must be approved by the Senior Responsible Officer.
- 7.7. **Basic Principles.** The IP clauses in all Research Contracts shall be governed by the following basic principles:
- 7.7.1. **Concluded from the outset.** A Research Contract must be executed in writing and signed by the Institution and the external party(ies)/sponsor(s) prior to the commencement of any Research Project and, as appropriate and without limitation, must contain terms relating to ownership, management and use of IP arising from the Research Project as well as any Background IP.
- 7.7.2. **Background IP.** All Institution Background IP must be properly recorded and declared prior to the commencement of a Research Contract and belongs to the Institution. Similarly, Background IP of the external party/sponsor, belongs to such party or sponsor. Use of such Background IP requires express written permission.

⁶ In general, Research Contracts must be managed in terms of a specific research contract policy. Article 8 of the policy only deals with the IP ownership clauses and the possible options for contract, sponsorship or donor funding.

- 7.7.3. **Foreground IP (IP arising from the Research Contract).** IP generated pursuant to a Research Contract by Staff Members, Students or Visitors shall be governed in terms of the above provisions relating to IP generated by these parties. The general rule is that such IP shall be owned by the Institution.
- 7.7.4. **Co-owned Foreground IP.**
- a. **Terms for co-ownership.** Co-ownership of IP generated pursuant to a Research Contract shall be in accordance with national legislative provisions, failing which, as mutually agreed contractually.
 - b. **Costs for protecting and maintaining co-owned IP.** The costs for protecting and maintaining any IPRs shall be shared between the Institution and the external party(ies)/sponsor(s) as mutually agreed contractually.
- 7.7.5. **Serendipitous IP⁷.** Any IP created during the course of the Research Contract which falls outside of scope of the Research Contract shall be owned by the Institution or the external party(ies)/sponsor(s) which developed such IP, unless agreed contractually otherwise in the Research Contract.
- 7.7.6. **Right of first refusal to the IP.** The Research Contract may include provisions giving the external party(ies)/sponsors, a right of first refusal to Commercialize the IP emanating from the Research Contract, through a license or joint venture arrangement or assignment.
- 7.7.7. **Publication delay.** It is the strict policy of the Institution to allow Creators freedom to publish their work. However, the Institution acknowledges that delays in publication for the purpose of initiating statutory protection of the IP is often necessary. In this regard, the Institution will agree, on a case-by-case basis, to a contractual delay in publication by Creators.
- 7.7.8. **Use of the IP for Research and teaching.** In instances, where the Institution IP is licensed exclusively or assigned as part of the Research Contract, all efforts should be made to secure a royalty-free license for use of the IP for on-going Research and teaching purposes.
- 7.8. **Exceptions to the Policy.** In certain cases, it may be necessary and/or beneficial to the Institution to enter into a Research Contract that contains exceptions to the provisions of this Policy. Any such exceptions require prior, written approval from the Senior Responsible Officer.

ARTICLE 8 – DETERMINATIONS BY THE IPR CELL

8.1. Responsibility to Disclose IP

- 8.1.1. **Recording.** Creators shall keep appropriate records of their Research in accordance with the Institution's applicable policy procedures and make reasonable efforts to ensure that only those individuals within the Institution who have a need to have access to such records for the performance of their duties are granted such access.

⁷Results are serendipitous when research that was originally funded for one purpose turns out to be useful for another purpose.

- 8.1.2. **IP Disclosure.** Where a Creator identifies potential IP resulting from his/her Research [or that of his/her team], he/she shall disclose such potential IP to IPR CELL promptly by means of an IP Disclosure Form.
- 8.1.3. **Complete disclosure.** Creators must provide to IPR CELL such full, complete and accurate information as IPR CELL may reasonably require to enable it to sufficiently assess the technical and related features and functions, ownership, commercial potential and IP protection that might be applicable to such IP. Upon complete disclosure, the IP Disclosure will be registered and assigned a reference number and IPR CELL will share this reference number with the Creators to signify that the IP Disclosure has been formally received by the Institution.

8.2. Creatorship and Ownership

- 8.2.1. **Creatorship.** Creators shall, upon request, sign the appropriate legal documents provided by IPR CELL that attest to creatorship. Where there is more than one Creator, and there is a dispute as to the contribution to creatorship, IPR CELL shall in consultation with the Creators, assist in the determination of the percentage IP creatorship, failing which it shall be assumed that there was an equal undivided contribution.
- 8.2.2 **Ownership.** Once creatorship has been determined, the Creators shall be required to formally assign any right, title or interest they may have in that IP to the Institution in the form of a contract that specifies the rights that will accrue to the Creator(s) and the Institution and the obligations they will have to assist the Institution with the Commercialization of that IP. Article 9.3 will apply.

8.3. Determination as to IP Protection and Commercialization

- 8.3.1. **Evaluation and recommendation.** IPR CELL will analyse the information disclosed in the IP Disclosure within 90 days of formal receipt. The analysis will include: whether or not the subject matter is protectable as IP; an assessment of economic viability or marketability; and determination of any rights of external parties, such as a funder or collaborator. After evaluation, IPR CELL will prepare a preliminary report with findings that enable the Institution to decide if it will proceed with IP protection and Commercialization. IPR CELL shall share the preliminary report with the Creator(s), and seek their input.
- 8.3.2. **Decision to protect/Commercialize.** The Institution will decide, as soon as reasonably practicable, whether or not it wishes to protect and/or Commercialize the IP. IPR CELL will use all reasonable efforts to notify the Creator(s) of the Institution's decision within of formal receipt of the IP Disclosure. IPR CELL will also make a determination in relation to the validity of any claim made by a Staff Member, a Visitor or a Student that they are the true Creator(s) of that IP and in relation to their rights under this Policy.
- 8.3.3. **Institution's obligation to notify Creators of its decision.** Within no more than 90 days IPR CELL will notify the Creator(s) of the decision of whether the Institution will or will not pursue IP protection and Commercialization of their IP Disclosure.

8.4. Institution Elects not to Protect /Commercialize the IP

- 8.4.1. **IP abandoned or not Commercialized.** The Institution reserves the right not to protect or Commercialize IP that it owns if after consultation with the Creators:
- a. there is no reasonable prospect of commercial success;
 - b. it is not deemed to be in the best interest of the Institution; or
 - c. it is not deemed to be in the public interest.
- 8.4.2 **Transfer of Ownership.** In the event the Institution decides not to pursue IP protection and/or Commercialization, it will take steps to return said IPRs to the Creator(s), contingent on any other superseding contract rights of external party(ies)/sponsor(s).
- 8.4.3. **Written notification.** If the Institution is unable to or decides not to protect or Commercialize the Institution IP, it should notify the relevant Creator(s) of its decision in writing and in a timely manner.
- 8.4.4. **No prejudice to IP protection.** The Creator(s) should receive the written notification in a timely manner that enables the relevant Creator(s) to take any formal steps to ensure the protection of IP, should they so desire.
- 8.4.5. **Assignment.** If the Creator elects to take assignment of the IP, the Institution shall ensure that a deed of assignment is executed without delay.
- 8.4.6. **Terms and conditions.** If the Institution assigns IPRs to the Creator in terms of this Article 8.4.5, the assignment may be subject to one or more of the following terms and conditions:
- a. that upon Commercialization, the Institution be compensated for any expenditure it may have incurred in connection with the protection and/or Commercialization of such IP; and/or
 - b. that the Institution be granted a non-exclusive, royalty-free licence to use the IP for Research and teaching purposes.

ARTICLE 9 - COMMERCIALIZATION OF IP

- 9.1. **Determination of the Commercialization Strategy.** Within 6 months of the decision to protect or Commercialise the IP under Article 8.3.2, the Institution will determine, with input from the Creators, the most appropriate Commercialization strategy.
- 9.2. **Assistance to IPR CELL.** Creators of IP which has been selected for IP protection and Commercialization by the Institution must provide IPR CELL with all reasonable support in the assessment, protection (including preventing premature disclosure and execution of any documents including deeds of assignment and deeds attesting to creatorship), and Commercialization of the IP.
- 9.3. **Sovereignty and Cooperation.** The Institution shall have the sole discretion regarding the Commercialization of IP owned by it. Notwithstanding, the Institution will ensure that reasonable efforts are made to keep the Creators informed and, where appropriate, involved in the Commercialization of the IP to which they contributed. The Commercialization of Institution IP will be monitored by IPR CELL.
- 9.4. **Commercialization Pathways.** Modes of IP Commercialization may include:
- a. license, either exclusive or non-exclusive, and variations thereof;
 - b. assignment (sale);

- c. formation of a Commercialization Entity to which the IP is licensed or assigned in terms of this Policy;
 - d. non-profit use or donation;
 - e. joint ventures;
 - f. royalty free access on humanitarian or other grounds; or
 - g. various combinations of the above.
- 9.5. **Guidelines.** Regardless of the mode of IP Commercialization, the transaction will be executed in a contract which:
- a. protects the interests of the Institution, its Staff Members, Students and Visitors;
 - b. retains rights for the Institution to use the IP for educational and research purposes;
 - c. assures that the IP will be utilized in a manner which will serve the public good;
 - d. assures that the IP will be developed and brought to the marketplace as useful goods and services; and
 - e. prohibits the “shelving” or “mothballing”⁸ of the IP or its use in any illegal or unethical manner.
- 9.6. The Institution will endeavour to Commercialize IP in a manner that enhances local, regional, and national economic development.
- 9.7. The Institution will endeavour to Commercialize IP in a manner that encourages and fosters entrepreneurship by Staff Members and others and which supports Commercialization Entities.

ARTICLE 10 - INCENTIVES AND DISTRIBUTION OF REVENUES

10.1. The Institution’s Incentive Structure

- 10.1.1. **Purpose and scope.** The Institution, in the interest of promoting knowledge transfer, will give due consideration to incentives to researchers to foster Research that has socio-economic impact; such incentives may be financial or non-financial. A Creator/Enabler may receive incentives from each IP they created/enabled which is Commercialized.

10.2. Sharing of Revenues

- 10.2.1. **General.** The Institution, in line with the minimum requirements set out in relevant national legislation, will award Creators/Enablers in the sharing of monetary benefits that may accrue to the Institution from the Commercialization of Institution IP.

- 10.2.2. **Calculation of revenues for distribution.** Calculation of Gross IP Revenue, IP Expenses, and Net IP Revenue shall be in accordance with the following rules:

- 10.2.2.1. **Calculation of Gross IP Revenue.** “Gross IP Revenue” is defined in Article 2 as “*all revenue received by the Institution for Commercialization of Institutional IP before any cost recovery or deductions for IP Expenses*” and includes, but is not limited to, outright sale of IP, option payments received, licence fees received, evaluation fees received, upfront and

⁸ Shelving or mothballing of academic IP refers to IP and invention disclosure bundles that remain unexplored, unlicensed or unused.

milestone payments received, royalty payments received, share of profits received, dividends received, commissions, income through disposal of equity, and direct sale of products or services.

- 10.2.2.2. **IP Expenses.** “IP Expenses” is defined in Article 2 as “*all expenses incurred by the Institution in the management of IP for which Gross IP Revenue has been received*” and includes, but is not limited to, those expenses that relate to (i) the Institution’s expenses incurred by payment to external entities for securing, maintaining and enforcing IP protection, such as patenting and litigation expenses; (ii) costs incurred by the Institution in the licensing/assignment of IP, including marketing costs, contract negotiation and drafting costs; and (iii) costs in making, shipping or otherwise distributing products, processes or services that embody the particular IPI.
- 10.2.2.3. **Calculation of Net IP Revenue.** Finance Department of YCCE shall maintain accurate and transparent documentation of IP Expenses incurred for a particular IP and shall be entitled to cover all IP Expenses it has incurred, as set out in 10.2.2.2 above. The “Net IP Revenue” is calculated as the Gross IP Revenue less IP Expenses.
- 10.2.2.4. **Co-owned IP.** Where the IP is co-owned by the Institution and an outside organization, the Gross IP Revenue received by the Institution will be shared in accordance with a pre-determined formula as per a contractual arrangement. Thereafter, the Gross IP Revenue received by the Institution and the Net IP Revenue will be determined, and revenues will be shared in accordance with section 10.2.3.1 and 10.2.3.2 below.

10.2.3. Sharing of revenues – Creators/Enablers

- 10.2.3.1. **Standard Creator’s share.**
The Standard Creator’s share of IP Revenue will be distributed as per the decisions of Competent authorities.
- 10.2.3.2. **Standard Enabler’s share.**
The Standard Creator’s share of IP Revenue will be distributed as per the decisions of Competent authorities.
- 10.2.3.3. **Disputes.** In the event of a dispute or uncertainty regarding the Creators’/Enablers’ share of the Gross or Net IP Revenue from a specific IP, the issue shall be brought for resolution to the IP Committee.
- 10.2.3.4. **Payment.** Payment to the Creators/Enablers will be made by the Institution on a periodic basis as agreed in writing, but no later than 12 months after receipt of the Gross IP Revenue by the Institution.
- 10.2.3.5. **Taxes.** Payments made as per 10.2.3.4 are subject to personal tax. The Institution may, make any applicable tax deductions before making payments to the Creators/ Enablers.
- 10.2.3.6. **Entitlement.** Creators/Enablers and their heirs will be entitled to IP revenue sharing for as long as the Institution receives Gross IP Revenues from Commercialization of the Institution IP.

10.2.3.7. **Banking details.** The onus is upon each Creator/Enabler to ensure that the Institution has their current banking details for the purpose of revenue sharing. The Institution will keep the relevant IP revenue amounts in reserve for a maximum period of 3 (three) years after which all rights of Creators/Enablers to receive such payments will be forfeited. If the Institution pays an amount into an incorrect account as a result of information supplied to it being outdated or incorrect, the Institution will not have any further obligation or liability in respect of such payment, which will be deemed to have been duly and properly made.

10.2.4. **Sharing of revenues – Institution.** The Institution's share of Net IP Revenue is distributed as per the decisions of Competent authorities.

10.3. Other Incentives

10.3.1. **General.** As a default position, the Institution will refrain from accepting non-monetary benefits for the Commercialization of its IP or from offering incentives other than revenue sharing, unless they are in addition to the revenue sharing as per 10.2.3.1 and 10.2.3.2, as appropriate. The Institution will thus give consideration, on a case-by-case basis, to the provision of other incentives, where monetary benefits (revenues) are not available or where the Creator/Enabler elects to choose other benefits *in lieu of* revenue sharing, which may only be realized in due course. Other incentives will include, but are not limited to, the incentives described in Article 10.3.2. – 10.3.4.

10.3.2. **Growth, development and acknowledgement.** A framework for growth and development of the Creator/Enabler in their professional and personal capacity shall be developed including (i) recognition of IP generation and Commercialization performance in appraisal procedures; and (ii) opportunities for enterprise development or capacity development through, for example, specific training opportunities, sabbaticals, and local and international exchanges in their relevant Research field or in the field of IP management and knowledge transfer.

10.3.3. **Research funds.** The Institution will actively promote, source and/or facilitate collaborative arrangements with industry partners to secure funding for further Research for the Creators/Enablers.

10.3.4. **Creator/Enabler receiving shares in a Commercialization Entity or other licensee.**

10.3.4.1. In the case where a Creator/Enabler is granted equity in a Commercialization Entity that licences the Institution IP which the Creator/Enabler has created,⁹ such Creator's/Enabler's portion in the standard revenue sharing formula of Article 10.2.3.1 or 10.2.3.2 will be adjusted accordingly, taking into account the shares held in the company by the Creator/ Enabler. All other Creators/Enablers will be rewarded in accordance with the formula in Article 10.2.3.1 or 10.2.3.2.

10.3.4.2. Where the Institution receives shares in a licensee company, which company may be a Commercialization Entity, as consideration for an IP

⁹ The institutional policy regulating Conflict of Interests must be consulted to assess additional measures that should be put in place especially when the researcher outsources research to the spin-off or start-up company, in which the researcher has a material interest.

license, the Institution will hold all the shares until liquidation, at which time the income will be considered Gross IP Revenue and the Creators/Enablers will receive their share according to the revenue sharing formula in Article 10.2.3.1 or 10.2.3.2.

- 10.3.4.3. Notwithstanding the benefit sharing in respect of shares in terms of this Article 10.3.4, the Creators/Enablers will still be entitled to their share of any other revenues under the IP license.

10.4. Contact Details

- 10.4.1. **Contact details.** The onus is upon each Creator/Enabler to ensure that the Institution is in receipt of their current address details for the purpose of revenue sharing. Unless contrary to law, should the Institution be unable to locate the Creators/Enablers through reasonable efforts, in order to effect payment of the revenue share amount, and a period of five years has passed since an initial attempt, then the portion owed to that Creator/Enabler or his/her heirs will be paid to the Institution's central fund to be used to support Research and innovation activities.

ARTICLE 11 - IP PORTFOLIO MAINTENANCE

- 11.1. **Recording and monitoring.** IPR CELL [or an external entity designated by the IPR CELL] shall maintain records of the Institution's IP in an appropriate form and in sufficient detail. It shall monitor the deadlines for the payment obligations related to the maintenance or annuity fees of protected IP, and shall, within a reasonable time, inform the person or department designated to make such payments.
- 11.2. **Accounting.** Finance department of YCCE shall maintain income/expense accounting records on each IP so that revenue sharing allocations can be calculated.

ARTICLE 12 - TRADITIONAL KNOWLEDGE AND GENETIC RESOURCES

- 12.1. When Research is conducted at the Institution using TK and/or GRs, provisions of national legislation must be observed,¹⁰ which provisions may include prior informed consent, and access and benefit-sharing, and the need to obtain any relevant permits.
- 12.2. The Institution shall formulate procedures and mechanisms for access to GRs/TK in order to comply with national legislation.
- 12.3. The Institution shall make provision in all Research Contracts concluded for the protection of any IP which may arise from the use of TK and/or GRs.

¹⁰ For instance, when a member of the Institution needs to access and use GRs for the purpose of the research or when it is envisaged to share samples of GRs with partners from other countries, the Institution shall abide by the national laws in place.

ARTICLE 13 - CONFLICTS OF INTEREST AND CONFLICTS OF COMMITMENT

- 13.1. **Commitment to the Institution.** Staff Members' and Visitors' primary commitment of time and intellectual contributions should be to the education, research and academic programs of the Institution.
- 13.2. **Best Interests of the Institution.** Staff Members and Visitors have a primary professional obligation to act in the best interests of the Institution; they should avoid situations where external interests could significantly and negatively affect their work ethic and research integrity.
- 13.3. **Agreements with External Parties.** It is the responsibility of all Staff Members and Visitors to ensure that their agreements with external parties do not conflict with their duties and responsibilities in terms of this Policy. This provision shall apply in particular to private consultancy and other research service agreements concluded with external parties. Each individual should make his/her duties and responsibilities clear to those with whom such agreements may be made and should ensure that they are provided with a copy of this Policy.
- 13.4. **Disclosure of External Activities and Financial Interests.** Staff Members and Visitors shall promptly report all potential and existing Conflict of Interest (COI) or Conflict of Commitment (COC) to the appropriate Institutional authority, in compliance with applicable COI/COC policies. The authority will be responsible for resolving the conflict or reaching a solution satisfactory to all parties concerned. The decision must be approved by a high level academic functionary (e.g., Principal of YCCE).

ARTICLE 14 - DISPUTE

- 14.1. **Violation.** Breach of the provisions of this Policy shall be dealt with under the normal procedures of the Institution, and in accordance with the relevant provisions of laws and regulations in force.
- 14.2. **Dispute Resolution.**
 - 14.2.1. Any internal disputes or questions of interpretation arising under this Policy must in the first instance be referred to IPR CELL for consideration and mediation by the IP Committee.
 - 14.2.2. If the matter cannot be resolved by the IP Committee within two months, then the dispute or question of interpretation must be referred to the Senior Responsible Officer for mediation.
 - 14.2.3. The Senior Responsible Officer may at their sole discretion refer the matter to Institution's Executive Committee and/or an independent committee for arbitration as final arbiter of any disputed issues or for final determination.
- 14.3. **Appeal.** Individuals covered by this Policy shall have the right to appeal the application of any aspect of this Policy to the IP Committee.

ARTICLE 15 - AMENDMENT

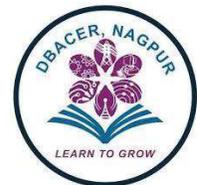
- 15.1. **Revision.** This Policy may be amended at any time by a decision of the IP Committee. In this case:
- a. all IP disclosed on or *after* the effective date of such amendment shall be governed by the Policy as amended; and
 - b. all IP disclosed *prior* to the effective date of the amendment shall be governed by the Policy prior to such amendment, provided that the provisions of the Policy (as amended) shall apply to all IP licensed or otherwise Commercialized on or after the effective date of any such amendment regardless of when the IP is disclosed.



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Incubation Policy



Meghe Group of Institutions

Preamble

Innovation is the key for every economy to grow and innovation takes place at every layer of the society. Government of India has declared 2010-20 as the decade of innovation to unleash the creative potential of every Indian. The Government of India has also set up "Atal Innovation Mission" and "Start-up India " mission to spearhead innovation movement across the nation. Youth of the country and the institution system play a crucial role at every step to shape the innovation ecosystem.

At Meghe Group of Institutions (hereinafter referred to as the "Institution"), building start-up and innovation culture across the Institutions is the key goal of the policy. The aim of the Institution is to ensure that the students and faculty across the institution get a conducive environment to solve problems, create ideas and opportunities & in furtherance of the same, this policy has been framed.

This policy addresses the need of creating a strong pipeline of innovations out of research and allied efforts across Institutes, by helping students / faculty convert ideas into opportunities, that later can be supported as start-ups through various institutional mechanisms. The policy creates an innovation pyramid with lateral linkages as well as in-house support and adds on to the facilities already available. To facilitate and pre-incubate innovative ideas to go through a stage of proof of concept, prototype, product, testing & trial, redesign and development of utility, the incubation policy would help in building innovation through pre-incubation processes of the Institutions.

DEFINITIONS

- 1) **Innovation:** Conceptually, any innovation implies substantial improvement in the ways of doing things, producing goods or providing services. It may involve a new use of an existing resource or producing or delivering existing goods or services through new methods or new instruments/materials.
- 2) **Start-up:** Start up is an entity that develops a business model based on either product innovation or service innovation and makes it scalable and replicable so as to be self-reliant. Start-up may also be an entity that satisfies the requirements of the Department of Industrial Policy and Promotion

(DIPP), Government of India, notification dated 17.02.2016 as specified in the G.S.R. 180 (E).

3. **Proof-of-Concept (POC) stage:** Proof-of-concept is the stage where the innovator / start-up demonstrate a fundamental functioning demonstration of the idea / hypothesis / innovation.
4. **Prototype-stage:** A prototype-stage is a pre-production / pre-launch stage where the innovator / start-up team has developed a basic Minimum Viable Product (MVP) with most key features desired in the final product.
5. **Minimum Viable Product (MVP):** It is a product with just enough features to gather validated learning about the product and its continued development.
6. **Start-up India Action Plan:** Government of India has announced for the 'Start-up India, Stand-up India' initiative for creating a conducive environment for start-ups in India, as well as the initiatives by different Ministries of the Central Government for this purpose and the action plan published by the Government.
7. **Student Start-up:** Any student-led innovation based start-up that has been founded by the efforts of one or more student (s) and / or alumni (not more than 5 years after graduation), from any university / educational institute, with or without the help of faculty guides or external support agents.
8. **Academic/Educational Institute:** Any Government / Grant-in-aid / Self-financed institute / College.
9. **Pre-incubation:** Pre-incubation makes up early stage support systems for the innovation & start-up value chain that comprises an enabling environment to trigger creative ideas, hand-holding ideas at conceptualisation stage, extending basic facility to test the ideas and validate its early users, basic common working infrastructures, and access to existing resources before the innovation reaches an enterprise stage.
10. **Incubator:** Incubator is an organisation established to accelerate the growth of start-ups, through an array of business support, resources, mentorship, networking & other common services such as physical space, capital & coaching.

11. **Technology Business Incubator (TBI):** A Technology Business Incubator (TBI) is an incubator, established to support technology-driven start-ups, generally supported by the National Science & Technology Entrepreneurship Development Board (NSTEDB), Department of Science & Technology (DST), Ministry of Micro, Small and Medium Enterprises, Government of India, Meghe Group of Institutions or any other Institution.
12. **Atal Innovation Mission (AIM):** The Atal Innovation Mission (AIM) is Government of India's endeavour to promote a culture of innovation and entrepreneurship. Its objective is to serve as a platform for promotion of world-class Innovation Hubs, Grand Challenges, Start-up businesses and other self-employment activities, particularly in technology driven areas. AIM is established under the NITI Aayog.
13. **Tinkering Lab/Fab Lab/Innovation Studio:** A Tinkering Lab / Fab Lab is a combination of experimental research and specialisation, where students may with emerging technology and fabricate and create new products / prototypes.
14. **Accelerators:** An accelerator is like an incubator except, as the name suggests, a start-up accelerator fosters rapid growth of the start-ups it incubates. Usually accelerators package mentorship, access to technology, office space and access to an innovative community into a relatively shorter timeline for faster growth.
15. **Angel Investors:** An angel investor is a person who provides financial support by investing capital - typically, a relatively smaller seed capital - in a start-up.
16. **Venture Capital:** Venture Capital (VC) is a type of funding that originates from venture capital firms that specialise in building high risk financial portfolios. Typically, such firms provide growth-level funding to established access to their networks for employees, clients, products, or services of the start-up.

MGI Incubation Policy

The Incubation Policy of MGI aims to create an integrated, institution-based innovation ecosystem to support innovations and ideas of Faculties, young students and provide conducive environment for optimum harnessing of their creative pursuit.

The Incubation Policy of MGI synergises complementary efforts by different stakeholders while making strong efforts towards cultural change among students, pre-incubation support and other necessary measures required in creating and nurturing student innovations and help sustaining them.

Primarily, at the institution level, the resources shall be utilised in building innovation support systems, processes and building an institution-centric innovation ecosystem that promotes innovative ideas and inculcates a culture of innovation and entrepreneurship. The policy ensures that the missing links of the innovation value chain like prototype support, IP protection, knowledge-based enterprise development, platform to showcase success stories, and similar challenges get mitigated through policy and allied support.

The Incubation Policy mandates interventions, grassroots level deployment and end-to-end support to ideas and innovations.

3.1. KEY OBJECTIVES

The Incubation Policy aims to create an integrated, institution-based innovation ecosystem to support innovations and ideas of faculties, young students and provide conducive environment for optimum harnessing of their creative pursuit.

- 1) Developing Innovation and Incubation Ecosystem for Innovators.
- 2) Creating environment for creativity to flourish and an end-to-end support system to allow ample support to ideas for better execution
- 3) Build internal capacity and key components of the innovation ecosystem to enable deployed processes to make sustainable impact at scale
- 4) Create pathways forming to market by harnessing and handholding Projects / Research / Innovation / Ideas.

- 5) Create a common platform to showcase, support and upscale innovations for motivating stakeholders as well as for an opportunity to create value for money and value for many
- 6) Promote & interact with, and resource technology/expertise from faculty members, research scholars, students and laboratory infrastructure in the various departments and centres of the Institute.
- 7) Help in getting other kinds of techno-managerial expertise required that is not available within the institute.
- 8) Incubating novel technology and business ideas into viable commercial products or services.

KEYGOALS

- Aim to create an environment that converts graduates into job creators by innovation and allied means
- Support student / faculty-led innovations
- Harness student / faculty start-ups and upscale
- Empower to build Innovation and Pre-incubation support systems
- Create incentives, awards, appreciations and benchmarks for innovation and student start-ups and associated efforts at all layers
- Ensure that the innovation processes link Academia, Society and SMEs through systematic ways so that students and faculty solve their challenges and create further entrepreneurial opportunities

KEY FACETS OF THE INCUBATION POLICY

The following are the key facets of the Incubation policy:

- A. The policy aims to intervene and support at i) Idea level, ii) Innovation level and iii) Pre-incubation level to achieve the broad goals of the policy.
- B. Successful implementation of the goals shall be evaluated by considering the implications of metrics such as output-driven indicators, stress on sustainable process design, competitive inspiration-based co-creation and incremental & turnkey measures in suitable proportion.
- C. The broad goals of the policy shall be achieved through interventions at pedagogy, co-curricular level and community / ecosystem driven interventions. The policy creates incentive structures at several levels viz.

Idea level, Educational Institute level, University level to drive policy and deployment and cluster level to involve non-academic elements.

- i) **Idea level:** Awards, proof of concept, prototyping and IPR support, mentoring support, pre-incubation, academic credits and similar benefits
- ii) **Institute level:** Finance, institutional building support and capacity building support
- iii) **Institution level:** Support to create innovation and pre-incubation ecosystem, support to finance innovations and IPR, access to external research and entrepreneurship infrastructure, industry and external expertise linkages
- iv) **Cluster level:** Appreciations, recognition, exposure, and access to academic resources
- v) **Pedagogy level:** Interventions which are primarily driven by new academic and allied process / regulation / strategy which suits to create more conducive environment and support system to foster more student innovations and start-ups.

This document contains policy and procedures for operational matters related to incubators at Meghe Group of Institutions. It covers the following processes:

1. Eligibility
2. Admission process
3. Intellectual Property process
4. Seed Support
5. Incubation support
6. Periodic assessment
7. Information submission
8. Consideration
9. Tenure in BI
10. Exit (Graduation)
11. Conflicts of interest
12. Disclaimer
13. Agreements

The policy is subject to periodical review and amendments. It will be the responsibility of the companies admitted to / associated with incubator to update themselves from time to time on amendments in incubation policy and procedures. Incubator reserves the rights to make an exception of all or any of the terms of policy for a company or a promoter on a case to case basis.

1. Eligibility

1.1 Admission to TBI is open to any of the following:

- Faculty members
- Students
- Alumni
- Institution R&D partners (sponsors of R&D and consultancy projects),
- Institution's partner (having R&D collaborations in place), and
- Government agencies associated with Institution's research and innovations.
- Permanent staff of institution
- Incubator alumni on selective basis.
- Applicants supported under any program managed by Meghe Group of Institutions

Focus of Incubator for incubation of proposals/business ideas shall be on the following basis:

- IP Based Start-ups
- Physical Products
- Proposals with potentials for strong identifiable involvement or interaction with MGI faculty
- Proposals which will have social and strategic impacts
- Proposals supported by any of GoI (Central / State) initiatives, where Incubator support is a requirement.

1.2 Applicants must fulfil the eligibility criteria as above for making an application for admission in the incubator, even in case of incubator's virtual incubation and or pre-incubation programme.

1.3 Applications for admission to TBI will be made in the name of registered entity within the meaning of the Companies Act, 2013. If a company has not been registered, an application may be made in the names of all promoters/ founders; however, the promoters/ founders must ensure that the company is registered within a period of six months from the date of approval of the application for admission in TBI. If company is not registered within 6 months then the idea will be further consider for review process.

2. Admission Process

Based on the merits of the case, the evaluation of the idea / business plan for incubation purposes, any of the following processes could be adopted.

2.1. Through two levels of review process:

Internal review - by senior business team members. A pitch template will be shared with the applicant for presenting to the internal team. This may take a few iterations till desired clarity of the idea / business plan is achieved.

External review - A business plan / deck is prepared after satisfactory internal review by the applicant. This will be presented to local selection and expert committee (LSEC). Experts could be from the domain, investor, established entrepreneur, potential client/user, research organization. Applicants may be asked to present to the concerned experts and feedback sought.

However, in the following cases the review process may be relaxed:

- Serial Entrepreneur
- Existing ventures with revenues of Rs 10 lacs or above
- Have received funding by Angels, Angel Network, VC of up to Rs 10 lacs
- Customer Validation

2.2. In case of pre-screened and previewed business ideas / cases by government grants / competitions, on their approval, the same will be directly taken for pre-incubation or incubation as the case may be.

2.3. All other cases will be processed as in (2.1) above with internal review followed by at least two external reviews.

Incubation approval is subject to completion of satisfactory review process.

Incubator will have a sole discretion whether to admit or reject a proposal for incubation and the decision of Incubator in this regard shall be final. Incubator is not bound to give any reason in case a proposal is rejected.

3. Process for Intellectual Property transfer

3.1. Approval required from:

a. Head of Institution - NOC for starting a venture / association as an equity holder / mentor / advisor

b. Competent Authority, MGI - Approval of IP license / transfer in case MGI Institution's IP is involved

- If there is no institution IP, NOC for starting a venture / association as an equity holder / mentor / advisor with an acknowledgment that there is no IP.

The companies or promoters / founders may have to pay consideration in lieu of the transfer / licensing of / permission to use IP in their favour, which will be decided by Institution. IP transfer/ IP licensing / Permission to use IP will be in favour of only the registered entity.

4. Seed Support

Companies may apply by way of Seed Support Application, which will be considered by investment committee. The Seed Fund amount will be decided on case-to-case basis by the committee and the seed support will be in the form of Equity / Loan / Convertible instruments.

5. Incubation Support

DETAILS OF FACILITIES

5.1. **Physical infrastructure:**

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- Fully furnished co-working space
- Shared resources: Meeting rooms, Conference rooms
- Office productivity equipment: Photocopier, Scanner, Projector
- Lab: Fabrication facility with Equipment and software tools (Refer Annexure), Facilitation for access to institutional laboratories/facilities.

5.2. **Utility:**

- Electricity
- Internet
- Drinking Water

5.3. **IT Support:**

- Basic IT infrastructure support will be provided

5.4. **Access to Grants and Institutional Support:**

- Institutional intra mural Grant scheme
- Facilitation for Government funding programs

5.5. **Advisory and Mentoring Support:**

- Mentoring
- Trainings and workshops
- Advisory from Experts- Technical, legal, CA, IP, etc.
- The Incubatees however will have to pay for specific transactions.

5.6. **Networking Opportunities:**

- Facilitation for business, professionals and expert network
- Facilitation for investors network
- Facilitation for industry connection
- Showcasing opportunities

5.7. **Ecosystem advantage:**

- Experiential learnings in incubator
- Incubation Ecosystem- technical resources and interactions, students, library, easy access to IP
- YCCE TBI FOUNDATION - YCCE and DMIMS(DU) brand
- Media visibility
- Address for incorporation (for resident incubatees under physical incubation)

1. If physical incubation: The External Incubatee (other than YCCE) will have to deposit Rs 10,000/- (Rupees Ten Thousand only) with Incubator as non-interest bearing returnable security deposit. The said amount will be returned at the time of vacating the Incubator after deducting outstanding dues if any. (Security deposit may be waved off – concerned authority)
2. The ownership of all assets and facilities so provided as a part of Incubatee supports and facilities rests with Incubator.
 - Pre Incubatees will be provided all the above incubation support except funding
 - Virtual Incubatees will be provided all the above incubation support except physical office space.

No cost for electricity / internet consumption or any utility or service is charged separately to the Incubatees. However, Incubator retains a right to limit the free electricity / internet consumption and other utility, beyond which charges will become payable by the Incubatee.

6. Periodic Assessment

The incubator will evaluate the performance of Incubatee companies quarterly. Incubatee companies will submit information to incubator in a prescribed format. (This can be obtained from incubators office). The companies will also be subject to an annual assessment by a Local Selection and Expert Committee (LSEC) comprising of external experts.

A company which has taken seed support will have to submit additional information as may be asked by Incubator. The un-disbursed portion of the seed support will be adjusted subject to the performance of the company.

It is mandatory for the Incubatee companies to submit a copy of their Audited Annual Reports within a period of 7 days from the date of their finalization.

7. Information Submission

Incubatee companies will submit information to Incubator about all material changes or developments taking place in their companies from time to time. Such information could be (but not limited to) change in name of the company, change in business or product profile, change in directors, promoters or shareholders, acquisition of a new office, additional equity or debt investments. Incubator may require incubatee companies to submit other information as it deems fit. Prior concurrence of Incubator should be obtained for effecting such changes.

Incubator will take the responsibility not to share / disclose any company specific details without prior permission of said company but may use the information for consolidation purposes only when reporting.

8. Consideration:

In lieu of support and services to be provided by Incubator / Institution, the incubatee companies will be subject to consideration;

- Rental / Incubation fees (Free for first 24 months)
- Equity and / or Revenue share minimum 5% of Capital or Operations as applicable.
- For any specific (e.g. pre-incubation, Business idea group, etc.) / Additional support or extension of incubation, additional consideration may be charged on case-to-case basis.

9. Tenure in Incubator

Companies will be permitted to stay in Incubator, to begin with, for a period of 12 months. Further extension, if any, will be for another 12 months based on satisfactory performance review. The rental charges, where physical incubation is provided, will be levied as per prevailing market rates after completion of 24 months. Any stay beyond the total of 24 months is subject to Incubator Board approval and will entail additional consideration to Incubator including rental charges and equity / revenue share.

10. Exit (Graduation)

Incubatee companies will have to leave the incubator under the following circumstances:

- Completion of stay for twenty months, unless the stay is extended by Incubator.
- Underperformance or unviability of the business proposition: Criteria for the same will be decided and applied by Incubator on the case to case basis.
- Irresolvable disputes between promoters / founders. Incubator will decide the position or point when disputes are deemed to be irresolvable.
- Change in promoter's/ founder's team without concurrence of Incubator.
- When the company enters in an acquisition, merger or amalgamation deal or reorganization deal resulting substantially a change in the profile of the company, its promoters, directors, shareholders,
- When a company plans for a public issue.
- Any other reasons which Incubator may find it necessary for an incubatee company to leave TBI.

Notwithstanding anything written elsewhere, Incubator's decision in connection with the exit of an incubatee company shall be final and shall not be disputed by any incubatee company.

11. Conflicts of interest and confidentiality of information:

A) CONFIDENTIALITY:

Incubatee shall neither during the period of his/its Agreement with the Incubator nor at any time after the termination thereof, directly or indirectly, be entitled to use, for his own purpose or those of any other person, company, business entity or organisation whatsoever, any trade secrets or confidential information relating to or belonging to Incubator, like any information relating to source codes, software, inventions, financial information, and ideas, or information, which has been given to the Incubatee in confidence by Incubator or if the same is

developed by it in pursuance of the association & Agreement with the Incubator & with the aid and assistance & funding provided by the Incubator.

B) INDEMNITY:

Incubator, which is only a support provider to the Incubatee, shall bear no responsibility of any breach of any laws by the Incubatee, during the process of any development of any product or project, etc. Incubatee agrees that the sole responsible of following will be that of Incubatee for the following:-

- a) Breach of Intellectual Property (IP) Rights of any person, organization, entity, etc.
- b) Breach of any Copy right of any person, organization, entity, etc.
- c) Breach of any of the laws in India or any other part of the world, which are applicable to the Agreement/s between the Incubator and Incubatee.
- d) Incubatee undertakes to keep Incubator indemnified from all such claims.

C) STATUTORY COMPLIANCES:

Incubatee shall, as may be relevant, shall be required to apply for and obtain, at its own costs, all licenses, permits, consents, and authorization required by the laws in force, from time to time, in order to carry on its operation & Incubator shall not be, in any manner, liable or responsible for the same.

12. Disclaimer:

The incubatee company will understand and acknowledge that Incubator intends to provide supports and services to the Company in good faith to pursue its objective to promote entrepreneurship by converting innovative technologies developed in the Institute and other than institute to commercialization by incubating and supporting new enterprises. It is understood that by agreeing to

provide various supports and services, Incubator does not undertake responsibility for:

- Ensuring success of an incubatee company, its products / process / services or marketability
- Ensuring quality of support and services provided by Incubator to the complete satisfaction of the incubatee companies or their promoters/ founders.
- Ensuring quality of services of the consultants engaged by the incubatee companies through Incubator / Institution network. Incubatee companies will have to apply their judgements before getting into a relationship with them.

The incubatee companies agree that Incubator/ Institution or their employees shall not be held liable for any reason on account of the above.

13. Agreements:

The following agreements are required to be signed by the companies to the extent applicable:

- i) Incubation agreement:
Between Incubator, an incubatee company and its Promoters for Incubator's equity holding in the incubatee company.

- ii) Seed Support Agreement:
Between Incubator & Incubatee company on sanction of seed support to the Incubatee company.

- iii) Any other agreements, as desired necessary for ensuring the protection of interest of the Incubator in the invention/s, developments, etc.

INSTITUTION'S RELATIONSHIP WITH A FACULTY STARTUP COMPANY

To facilitate technology transfer, the institution needs to provide an organizational structure and procedures through which inventions and discoveries made in the course of institutional research are made readily available to the public through channels of commerce. The institution further recognizes that efficient and effective means of commercializing institution technology may be through small, start-up companies that are founded by, or have a close relationship with, institution faculty. The institution is enthusiastic about such ventures and wishes to be supportive of faculty and companies formed for the purpose of developing and commercializing institutional technology. When such companies are formed, conflict of interest, conflict of commitment and other issues related to assuring the most effective and rapid development of institutional technology into products benefiting the public must be addressed. The following recommendations address the relationship between the institution and start-up companies founded by members of the institution faculty.

Assumptions

1. The technology is developed by a faculty member and the ownership rights thereto are either already vested in the institution as required under the institution's policy on intellectual property ("IP Policy") or are assigned to the institution by the faculty member.
2. The faculty member:
 - Is actively involved in the founding and/or management of the start-up; or
 - Holds significant equity (>5 percent of total authorized shares or value) in the start-up; or
 - Is a member of the Governing board of the start-up; or
 - Holds, or will hold, equity in the start-up and would otherwise be entitled to receive a share of revenue from the commercialization of the invention in accordance with the IP policy.

Responsibilities

Institution Responsibilities

At an early stage, the head of institution, or his designee, in conjunction with the faculty member, where appropriate, will:

1. Ensure that the Dean and relevant Department Heads are aware of the faculty start-up enterprise;
2. Conduct a diligent examination of the sources of funding and applicable research agreements to ensure they are compatible with each other and that the institution's interest in the intellectual property is protected;
3. Help determine whether granting rights to the start-up is the "best mode" for commercialization, as opposed to a licensing agreement with a third-party commercial sponsor;
4. Help identify outside professional advisers and other resources to aid the faculty member in structuring, organizing and managing the start-up company and obtaining capital financing;
5. Define and negotiate the technology license with the start-up company; and
6. Manage all intellectual property (patents, copyrights, etc.) and research contracts and grants, as appropriate.

Faculty Responsibilities

1. Faculty members must comply with all institution policies, including employment, intellectual property and conflict of interest policies;
2. Faculty members involved with a start-up company must fully disclose their activities and ownership to any trainees, fellows or students working on their research. Trainees, fellows and students should not be assigned to research projects that will lead to a direct financial benefit for the faculty member;
3. All potential faculty conflicts of interest must be disclosed, in accordance with the institution's policy on conflict of interest. A suitable management strategy must be developed;
4. It is always up to the competent authority to establish guidelines for time spent by faculty on outside activities. In general, a significant conflict of commitment will be created if the faculty member's responsibilities for the start-up company exceed more than one day per week.

Institution's Relationship to the Start-up Company

1. The institution may grant to the start-up company an exclusive, worldwide license for the technology with the right to sub-license. The terms of the license agreement generally will include the start-up company paying the Institution:
 - All future patent expenses, and the institution may seek reimbursement for any past patent expenses;
 - A license fee and annual maintenance fees for years prior to first commercial sale;
 - Milestone payments due on each round of equity financing;
 - Milestone payments on achievement of critical product development events; and
 - An earned royalty on product sales by the start-up or sub-licensees, with annual minimum amounts due in each year after first commercial sales (fully creditable against earned royalties).
2. The start-up company will be obligated to provide the following diligence provisions required to maintain the license. Failure to satisfy these requirements may result in termination of the license by the institution. The start-up company will:

- Provide an acceptable development plan with at least semi-annual updates;
 - Meet all milestones;
 - Make all required payments and reimbursements within 60 days of the due date;
 - Comply with all necessary steps to effectively manage conflicts of interest;
 - Indemnify and provide satisfactory insurance for the institution for product liability and other risks;
 - Require institution approval of sub-licenses; and
 - Require that obligations of licensees are passed onto all sub-licensees.
3. The institution's equitable interest and role in the start-up company:
- Equity will only be taken if approved on a case by case basis by the institution and;
 - The institution can hold a seat on the governing board or otherwise participate in management or operations of the start-up company;

Specific Stipulations Regarding Research Support by the Start-up Company

The start-up company may, under very specific circumstances, support research projects at the institution, provided that:

- All projects are subject to the institution's stringent conflict of interest rules and, as such, a decision will be required by the appropriate DRC that a conflict of interest either does not exist or has been appropriately managed;
- All projects are subject to the approval of the competent authority;
- The scope of work is clearly defined and the research is not for product development for the company;
- No employees of the start-up company will be included as named participants on any research contract with the start-up company;
- All inventions arising from the work are owned by the institution and subject to an option to negotiate additional licenses;
- Students in the PI's lab will not be permitted to function as employees of the start-up company, and should not be compensated under the research contract to ensure that they are free to pursue publication and

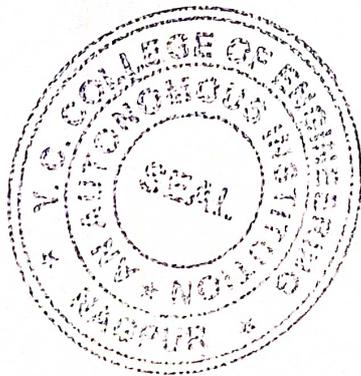
- thesis defence without restriction; and
- Commitment to fund research cannot be used to replace a license royalty payment obligation.

Permitted Use of Institution Research Space

The Institution recognizes that technology used as the platform for faculty start-ups is almost invariably at an early stage of development and is intimately related to the faculty's ongoing research interest. It is likely, therefore, that some technology development will be necessary at the institution before it can be transferred to the new venture. The institution will work with the new venture to assist in this transfer and to assure that institution facilities and resources are not being used inappropriately to support product development and for-profit activities. The institution may offer assistance to the faculty member to locate suitable off-site space for the start-up company, when this is appropriate.



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POLICY DOCUMENT - 2021

Policy No. F26

Policy Name: Financial Assistance in Open Access Journals	Policy Category: Faculty
Initial formulation No. and Date: MGI/NYSS.2021-22/Policy/ 11.11.2021 / F26 - 01	
Preamble: Applicable for SCI, ESCI and SCIE Journal	
SCImago Journal Rank (SJR) <ul style="list-style-type: none">• The SJR indicator is a <u>measure</u> of the scientific influence of <u>scholarly journals</u> that accounts for both the number of <u>citations</u> received by a journal and the importance or prestige of the journals where the citations come from. A journal's SJR is a numeric value indicating the average number of weighted citations received during a selected year per document published in that journal during the previous three years.• Each subject category of journals is divided into four quartiles: Q1, Q2, Q3, Q4.<ul style="list-style-type: none">○ Q1 is occupied by the top 25% of journals in the list;○ Q2 is occupied by journals in the 25 to 50% group;○ Q3 is occupied by journals in the 50 to 75% group and○ Q4 is occupied by journals in the 75 to 100% group.• SCImago Journal Rank (SJR) is one of the internationally recognized standards for identifying the quartile of a journal.	
If the Journal is having subscription publication category (No article processing charges) and Open Access publication category (Article processing charges), still if the faculty requests for financial assistance for publication in open access category, the same will not be provided.	
If the Journal is having Open Access publication category only, and if faculty requests for financial assistance for APC, In this scenario 100% financial assistance will be provided, subject to the following condition. <ol style="list-style-type: none">1) Journal must be listed in SJR Q1 Category and SCIE.2) Journal H-index must be greater than or equal to 200.3) Author must receive final manuscript acceptance by a qualifying publication.	



- 4) Author must receive E-mail regarding Article Processing Charges (APC) or Invoice for publication charges.

If the Journal is having *Open Access publication* category only and if faculty requests for financial assistance for APC, in this scenario **75%** financial assistance will be provided, subject to the following condition.

- 1) Journal must be list in *SJR Q1* Category and SCIE.
- 2) Journal H-index must be greater than or equal to **100**.
- 3) Author must receive final manuscript acceptance by a qualifying publication.
- 4) Author must receive E-mail regarding Article Processing Charges (APC) or Invoice for publication charges.

If the Journal is having *Open Access publication* category only and if faculty requests for financial assistance for APC, in this scenario **50%** financial assistance will be provided, subject to the following condition.

- 1) Journal must be list in *SJR Q1* Category and SCIE.
- 2) Journal H-index must be in between **50 – 99**.
- 3) Author must receive final manuscript acceptance by a qualifying publication.
- 4) Author must receive E-mail regarding Article Processing Charges (APC) or invoice for publication charges.

If the Journal is having *Open Access publication* category only and if faculty requests for financial assistance for APC, in this scenario **30%** financial assistance will be provided, subject to the following condition.

- 1) Journal must be list in *SJR Q2* Category and SCIE.
- 2) Author must receive final manuscript acceptance by a qualifying publication.
- 3) Author must receive E-mail regarding Article Processing Charges (APC) or invoice for publication charges.

If the Journal is having *Open Access publication* category only and if faculty requests for financial assistance for APC, in this scenario **20%** financial assistance will be provided, subject to the following condition.

- 1) Journal must be list in *SJR Q3* and SCIE.
- 2) Author must receive final manuscript acceptance by a qualifying publication.
- 3) Author must receive E-mail regarding Article Processing Charges (APC) or Invoice



for publication charges.

If the Journal is having *Open Access publication* category only and if faculty requests for financial assistance for APC, in this scenario 10% financial assistance will be provided, subject to the following condition.

- 1) Journal must be list in *SJR Q4* and *SCIE*.
- 2) Author must receive final manuscript acceptance by a qualifying publication.
- 3) Author must receive E-mail regarding Article Processing Charges (APC) or invoice for publication charges.

Additional Terms and conditions:

- The journal must be in the directory of open access journal (unless the journal is too new for DOAJ eligibility)
- The financial assistance will be provided only for publication fees.
- The additional page charges will not be provided as the financial assistance.
- No financial assistance will be provided for transfer charges and reprint fees
- The financial assistance will not be provided for hybrid open access model.
- Additionally, the sanctioned financial assistance shall be based on the quality of journal (publication standard) in each category (Q1, Q2, Q3 and Q4).
- If there are more than predefined number of papers applied for financial assistance, the same will be provided based on higher H-index in the applied category.
- The registration fees for publication of paper in above category journals are to be paid to restricted authors as mentioned in below table. Hence, it will be paid after publication and at the end of academic session

Financial Implications:

Journal Ranking	H index No.	Max No. of papers	Registration fees	Financial Assistance	Max Financial Assistance approved
Q1 Ranking Journal	H index more than 200	1	1,50,000/-	100% APC	1,50,000/-
Q1 Ranking Journal	(greater than or equal to 100)	1	1,50,000/-	75% APC	1,12,000/-
Q1 Ranking Journal	H index between 50 - 99	1	1,25,000/-	50% APC	62,500/-
Q2 Ranking Journal	-	2	1,00,000/-	2,00,000/- (30% APC)	60,000/-



Q3 Ranking Journal	-	5	75,000/-	3,75,000/- (20% APC)	75,000/-
Q4 Ranking Journal	-	45	50,000/-	22,50,000/- (10% APC)	2,25,000/-
		TOTAL =58			TOTAL 6,84,500/- =

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Treasurer
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POLICY DOCUMENT - 2021

Policy No. F25

Policy Name: Incentives for publication related achievements	Policy Category: Faculty
Initial formulation No. and Date: NYSS/CEO.2012/109 MGI/NYSS.2021-22/Policy/ 11.11.2021 / F25-01	Revision Date:19.3.2012

Preamble/Purpose: To inculcate and nurture research ecosystem at YCCE. The policy is intended to encourage greater efforts in innovative research and achieve successful outcome in terms of quality research publications, so as to enhance the research performance of faculty members at the individual level as well at the institution level.

Criteria's/Guidelines:

- The incentives will be only applicable to the Research Journal publications with **Q1, Q2, Q3, Q4 ranking (SCI, ESCI, SCIE, SCOPUS, Web of Science)**.
- Amongst the list of authors provided in research publication, the incentive will be provided only to the YCCE faculty members only if he/she is the **First Author**
- **If the total number of papers/other categories for incentives exceeds the predefined number in the policy, then the incentive will be granted on the basis of Quality of publication in terms of H - index. The paper with higher H - index will be granted the incentive**
- The faculty member will be solely responsible to produce evidence of having published paper in the refereed journal (SCOPUS/WoS). The authors have to produce a printed copy of the SCOPUS, Web of Science or other evidence using multiple resources to identify the indexing of journals. **Also it will be cross verified at the institution level by the R and D office.**
- **Plagiarism and any irregularities shall attract severe disciplinary action as per the service rules, including recovery of twice the amount of incentives paid earlier.**
- Renowned National and International Publisher like Springer, Tata McGraw Hill, CRC, etc., only will be considered in case of books/book chapters.

The incentives will be given only for journal publications, books, book chapters and Editors; as mentioned below.

Incentives for Publications in Journals



For single paper / Department

Description	Quartile Ranking	Original Research/ Review Articles (INR)	Edlted/Co-Edlted (WOS/SCOPUS) Journals (INR)
Research Journal Publication Indexed in (Web of Science/ SCOPUS) database	Q1	5000 (each paper)	10000
	Q2	4000 (each paper)	8000
	Q3	3000 (each paper)	6000
	Q4	2000 (each paper)	4000

For three or more papers / Department

Description	Quartile Ranking	Original Research/ Review Articles (INR)	Edlted/Co-Edlted (WOS/SCOPUS) Journals (INR)
Research Journal Publication Indexed in (Web of Science/ SCOPUS) database	Q1	10000 (each paper)	10000
	Q2	8000 (each paper)	8000
	Q3	5000 (each paper)	6000
	Q4	3000 (each paper)	4000

Books/Book Chapters

Sr. No.	Description	Published in Database Book Citation Index (SCIMAGO/Master Journal List)	Renowned National and International Publisher
1	Edited/Co-Edited/Authored-Full book (Text Book/Reference Book/Edited Volume of the Book)	NA	10,000
2	Authors of Book chapter	3000	2000

Financial Implications:

Journal Ranking	No. of papers	Incentive	No.	of	Total	Total
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	per Department		Departments	No. of papers	amount of incentives
Q1 Ranking Journal	3 per Department	10,000/-	9 Departments	27	2,70,000/-
Q2 Ranking Journal	3 per Department	8,000/-	9 Departments	27	2,16,000/-
Q3 Ranking Journal	3 per Department	5,000/-	9 Departments	27	1,35,000/-
Q4 Ranking Journal	5 per Department	3,000/-	9 Departments	45	1,35,000/-
Edited/Co-Edited Journals (WOS/SCOPUS)	2 at Institute Level	10,000/-	-	2	20,000/-
Edited/Co-Edited/ Authored- Full book	1 at Institute Level	10,000/-	-	2	10,000/-
Authors of Book Chapter	5 per Department	3,000/-	9 Departments	45	1,35,000/-
				174	Total Amount 9,21,000/-




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Policy Document - 2020

Policy No.S18

Policy Name: Financial Assistance to Students for Journal Paper Publication	Policy Category Students
Initial formulation No. & Date: MGI/NYSS/2020-21/Policy/11.11.2020/02	
Policy Statement: Policy for providing financial Assistance to Students towards processing fees for Publishing paper in reputed journal	
Policy Description : Article Publication Charges for paper publication in Open Access (OA) or Hybrid Open Access Journal <ul style="list-style-type: none">• Processing fees up to 25 % of Article Publication Charges -APC of journal (Maximum of Rs. 5000 /- per publication) shall be provided to UG/PG students for publications in Scopus or Web of Science including ESCI, SCIE, SSCI, AHCI Indexed Journal or any journal with content coverage of Clarivate Analytics.• The policy will be only applicable to the Research Journal publications with Q1, Q2, Q3, Q4 ranking (SCOPUS, Web of Science etc and having good Impact Factor)• The processing fees shall be given to maximum 5 groups of IV Year UG students per department (with different papers from different UG project groups from every department), all PG students registered at YCCE research center once per year.• The processing fees shall be only sanction to first student author from each UG group or PG student/research scholar) with affiliation ID of Yeshwantrao Chavan College of Engineering, Nagpur, India.• If the article is published in Q1 ranking journal then amount of processing fees more than Rs. 5000/- will require special approval from sanctioning authorities.• The author (student) will be solely responsible to produce evidence of having published paper in the refereed journal. The authors have to produce a printed copy of the SCOPUS, Web of Science or other evidence using multiple resources to identify the indexing of journals along with the acceptance letter.• As a special privilege for Research publications from funded projects like DST-EMR, RPS etc; complete 25 % of APC as processing fees will be supported by institution.	

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- Over and above incentive marks will be given for IV year in project (maximum marks of project should not exceed 95%)
- Paper publication is compulsory for PG and Ph.D. students

- The student desirous of availing the benefit shall apply in prescribed format with Copy of the paper, acceptance letter, detail proof of processing fees of journal etc as annexures.
- The respective faculty member (Guide/supervisor) must certify the application.
- The respective Head of the Department shall endorse/recommend the application to the principal for the approval and should also ensure that the application must be as per criteria and policy.

*** This policy is only applicable to student. Any faculty member as a co-author of the paper in not eligible to avail the Article Publication Charges (APC)**

Financial Implications

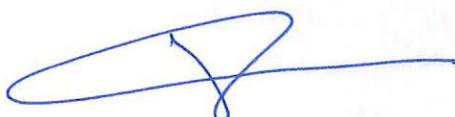
Rs. 5000/- x 5 students x 7 depts = 1,75,000 + (5000 x (no. of PG (45)) = 2,25,000) = 4,00,000


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Policy No.S17

Policy Name: Financial Assistance to Students for Attending Reputed Conference.	Policy Category Student
Initial formulation No. & Date: NYSS/DG/2015/223 , Dated 02/02/2015	First Revision Date 23.04.2020 Second Revision Date 11.11.2020
Policy Statement: Policy for providing financial Assistance to Students for Publishing Paper in Conference organized by Premier Technical Institutions within Country	
Policy Description : <u>For Attending National/International Conferences in India Hosted by</u> <ul style="list-style-type: none">• IEEE/ACM [Institute of Electrical and Electronics Engineers/Association for Computing Machinery] sponsored/Flag ship Conferences organized by any IEEE/ACM Society.• International/National Conference sponsored/organized by ASME [American Society of Mechanical Engineering] / ASQ [American Society of Quality] / SAE [Society of Automotive Engineering] / SME (Society of Mechanical Engineering) / IIIE [Indian Institute of Industrial Engineering] / ISHRAE [Indian Society of Heating, Refrigerating and Air-Conditioning Engineers] / ASHRAE [American Society of Heating, Refrigerating and Air-Conditioning Engineers] and indexed in SCOPUS or Web of Science (WoS) database.• International/National Conference sponsored/organized by ASCE [American Society of Civil Engineering] / Indian Society of Hydraulics / Geotechnical Engineering/ IE(I) (The Institution of Engineers)/ IWWA(Indian Water Works Association) and indexed in SCOPUS or Web of Science (WoS).• International/National Conference organized/sponsored by Applied and	



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Computational Mathematics, IMS [Indian Mathematics Society], CMS [Calcutta Mathematical Society and indexed in SCOPUS or Web of Science (WoS).

International/National Conference organized by/at IISc/IITs/IIITs/NITs/IIMs/ Government/Autonomous/Deemed Universities (NIRF/NBA Accredited), in which conference is sponsored by IEEE /IET / IETE / ACM/ ASME/ ASCE/ Elsevier/ Springer/ any other professional body and indexed in SCOPUS or Web of Science (WoS) database.

Procedure:

- The student desirous of attending and presenting the paper in the conference shall apply in prescribed format (SFA-I) with Hard Copy of the paper, conference brochure, registration detail (bank transaction), acceptance letter, etc as annexures.
- The respective faculty member (Guide/supervisor) must certify the application.
- The respective Head of the Department shall endorse/recommend the application to the Principal for the approval and should also ensure that the application must be as per criteria and policy.

Financial Assistance:

The 100% registration fees shall be sanctioned (subject to Maximum of Rs. 5,000 to first author).

- Publication must be peer review (should be listed above) to avail the registration fees. Author must produce the evidence of conference of repute at the time of sanction.
- Financial Assistance shall be only given to first author (or any one student from UG group or PG student who will be the presenting author) with affiliation of Yeshwantrao Chavan College of Engineering, Nagpur, India.
- The financial assistance shall be given to maximum 5 group of IV Year UG students (with different papers) and to all PG students from every department once per year.



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- In case there are more than 5 UG papers, department shall recommend for financial assistance after evaluation based on conference status and

Travel Assistance and Accommodation:

- For presenting a paper in India, one student (preferably first author) per paper shall be entitled for II Class Sleeper TWO way rail/bus fare and Maximum Rs.1000 towards accommodation and other miscellaneous expenses subject to provision of Hotel and other Bills.
- If additional student (author) wants to attend the conference, one more student/author shall be entitled for only II class TWO way rail/bus fare (No registration fees and accommodation).

Financial Implications (Registration):

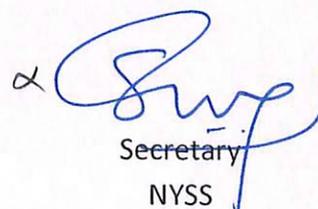
- A. Per presentation for first author 5000/- x 5 UG papers x 7 = 1,75,000
B. Per presentation for first author 5000/- x no. of PG students (45) = 2,25,000

UG : $5 \times 7 \times 1000 = 35,000$ + PG: $45 \times 1000 = 45,000$ Total 80,000 for Lodging/Boarding + 2-way sleeper class fare

Financial Implications (Travel Assistance/Accommodation):

No of students (first author) x 1000 + Two way Fare

No of students (additional student) x Two way Fare


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Policy Document - 2020

Policy No. S16

Policy Name: Financial Assistance to Students for participation in Design Competitions like Baja, Gokart, Ekart, etc.	Policy Category Student
Initial formulation No. & Date: MGI/NYSS/2020-21/Policy/11.11.2020/01	
Policy Statement: Financial Assistance to Students for participation in Design Competitions like Baja, Gokart, Ekart, etc.	
Policy Description: Objective: <ul style="list-style-type: none">• To motivate students to perform and excel and offer a lot more reward than just the winning prize.• To gain substantial experience, showcase skills, analyze and evaluate outcomes and uncover personal aptitude.• To adopt innovative techniques and develop their ideas and skills.• To meet new people and make friends from other disciplines and geographic locations.• To get opportunity to connect with top employer. Procedure: <ul style="list-style-type: none">• The III and IV Year UG students(Bright students) who are capable of working on design project are eligible to participate in the design competitions organised by organisations such as SAE India, Texas Instruments, NDRF (IEI), INSDAG, etc.• The department can participate in maximum TWO Design competitions in academic session.• The group of students shall submit the application about participation in design competition with all financial details within 1 month from start of academic session duly certified by faculty mentor to HoD of respective department.	



2

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- The respective Head of the Department shall endorse/recommend the application to the principal for the approval and should also ensure that the application must be as per criteria and policy of organising body.
- Financial Assistance for Fabrication/Preparation of Model/Prototype including carting will be approved as 50% of total expenses with maximum limit of Rs.75000/-.
- Maximum Rs.10000/- will be approved for Registration Fee per team
- For participation in competition maximum Ten students per group shall be permitted and entitled for II Class Sleeper TWO way rail/bus fare. Each Student will get maximum Rs.1000/- towards accommodation and other miscellaneous expenses subject to submission of Hotel and other Bills.
- The accompanying faculty members deputed for the competition will be eligible for TA/DA as per rules.
- The department should generate funds through sponsorship to meet 50% expenses of the project.
- The students will start working on design project only after getting approval from the Principal.
- The students shall adhere to the norms/guidelines framed by college for purchase of various items required for their project.
- The students must follow all guidelines and procedure given by organizing authorities from time to time.
- The HoD along with mentor faculty must take periodic review of the progress of project.
- On completion of competition; the Technical report along with photographs validated by the escorting faculty shall be submitted to the HoD within 7 days of the visit and further to the Principal's office.
- The prototype/model developed by students as design project will remain in the



Policy Document - 2020

department for showcasing it to junior batches.

Financial Implication:

75000/- x 2 per dept = 1,50,000

1000 x 10 students per team x 2 per dept = 20,000 + TA/DA of faculties as per rules

10000 per entry x 2 per dept = 20,000

Total: 1,90,000 + TA/DA of faculties as per rules + 2-way rail/bus fare for students

✓



Secretary
NYSS



Yeshwantrao Chavan College of Engineering, Nagpur

POLICY DOCUMENT

Policy No. F29

Policy Name: Financial Assistance to Innovative UG/PG Projects	Policy Category: Faculty & Student
<p>1. Introduction:</p> <p>In order to promote development of innovative real life projects for the benefit of industry or society it is proposed to initiate “Financial Assistance to Innovative UG/PG Projects Scheme” for providing financial assistance to UG/PG projects approved by Innovative Project Selection committee. In order to offer UG/PG projects of industrial / societal importance the project supervisors can choose co-supervisors/Mentors from engineering institutions or industries.</p> <p>2. Objective :</p> <p>To initiate R&D activities in line with startup India themes and possible patent registration.</p> <p>3. Quantum of Financial Assistance:</p> <p>Normally maximum of Rs. 25000/- per project for the duration of one academic year shall be sanctioned, in case of exceptional project the amount may be increased upto Rs. 50000/- per project with due justification by the selection committee . 50% of sanctioned amount shall be given for purchase of components and remaining 50% shall be released in stages of completion of project.</p> <p>4. Eligibility of Project Supervisor</p> <p>University approved faculty members in Engineering discipline or Management Regular faculty member with atleast three years of teaching experience.</p> <p>5. Purchase of Project Components and other costs</p>	

The project components as mentioned in the proposal and approved by the project selection committee should only be purchased as per the defined procedure / guidelines of the institution / Sanstha, other expenses such as fabrication, consumables and contingencies shall be as per approved list. Any variation in the list of components or consumables should be pre-approved from the selection committee.

6. Procedure for Applying

All interested faculty members who wish to avail financial assistance under this scheme should submit their proposal in the prescribed proforma to the Chairman R&D Cell by prescribed date every year.

7. Procedure for Approval

All proposals will be reviewed by the selection committee, faculty member submitting proposals shall be invited for discussions as per schedule decided by the committee.

8. Monitoring and evaluation

Progress of project shall be monitored by the committee thrice during the project. The reviews shall be taken in the month of October, January and April during the project

9. Responsibility

The complete responsibility for the meaningful implementation of the project lies with the concerned Project Supervisor.

10. Standard Operating Procedure

Standard operating procedure for the Financial Assistance to Innovative UG/PG Projects shall be as per Annexure 2.




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College of Engineering
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NAGPUR - 441110



**FORMAT FOR SUBMISSION OF PROPOSAL
UNDER**

Financial Assistance to Innovative UG/PG Projects

1. Group :
2. Project Title:
3. Area of Specialization/Discipline:
4. (a). Project Supervisor:
 - i. Name:
 - ii. Designation:
 - iii. Department Name:
 - iv. Nature of Appointment :
 - v. Teaching Experience :
 - vi. Institution Name:
 - vii. Email:
 - viii. Mobile no. :
- (b) Co- Supervisor/ Mentor:
 - i. Name:
 - ii. Designation:
 - iii. Department Name:
 - iv. Name of Institution / Industry:
 - v. Teaching Experience / Industrial Experience :
 - vi. Email:
 - vii. Mobile no. :

Proposed UG/PG Project Work

1. **Origin of Project:**
2. **Related Patent Search**
3. **Details of Proposed Project**
4. **Major Outcomes expected**
5. **Details of the facilities available for the proposed work:**

Institutional and Departmental facilities available for the proposed work:

The following equipment and laboratories are available for the development of the proposed research work

Equipment(s)

S. No.	Name of the Equipment	Laboratory
1		
2		
3		
4		
5		

Other relevant infrastructural facilities available:

6. Financial Assistance Required:

Item Estimated Expenditure required are tabulated below:

A. Non-Recurring (e.g. Components, accessories, etc.)

S. N.	Item	Approx. Cost	Justification
1.			
2.			
3.			
4.			

5.			
6.			
7.			
	Total (A)		

B. Recurring

S. N.	Recurring Details	Approx. Cost	Justification
1.	Consumables		
2.	Contingency		
3.	Fabrication / assembly		
	Total (B)		-

7. Detail the usefulness of the Project for the department/ Institution

8. Any other information which the Supervisors may like to give in support of the proposal which may be helpful in evaluation

Undertaking

To undertake that:

- a) I/We shall abide by the rules/guidelines governing the scheme in case assistance is provided to me/us.

- b) I/We shall complete the project within the stipulated period. If I/We fail to do so and if the Project Review Committee is not satisfied with the progress of the project, the project may be terminated immediately and I/We will refund the amount proportional to the recurring expenditure incurred by me/us.

Date:

Name & Signature(s) of Supervisors & Mentor

Forwarding by the HoD& the Principal

The proposal complies to the guidelines of the scheme including eligibility and is hereby forwarded for consideration:

Date:

(Name and Sign of HoD)

(Name and Sign of the Principal)

Annexure 2

Date:

CIRCULAR

Subject: Standard Operating Procedure for Initiating, submission, review and completion of “Financial Assistance to Innovative UG/PG Projects”

A. Launch of scheme

The Chairman R&D Cell MGI shall notify launch of the scheme every year in first week of July, with prior approval of Management.

B. Awareness Programmes

The R&D Cell shall organize programmes for awareness about the scheme in all Institutions under MGI within a week of launch of the scheme.

C. Submission of proposals under the scheme

Interested eligible faculty members shall submit the proposal in prescribed format on or before the due date mentioned in the notification. The Chairman R&D Cell may extend the last date of submission with prior approval of management.

D. Grouping of Innovative Projects

The projects shall be grouped under following:

1. **Civil Engineering** – Civil Engineering, Environmental Engineering, Structural Engineering Projects
2. **Electrical Engineering** – Electrical Engineering, IPS Projects
3. **Electronics** – Projects from Electronics, Electronics & Telecommunication, Electronics & Communication, Communication Engineering, VLSI Design
4. **Computer Science** – Projects from Computer Technology, Information Technology, Computer Science and Engineering
5. **Mechanical Engineering** – Mechanical Engineering, Production Engineering, CAD/CAM
6. **Inter-Disciplinary Projects**

E. Innovative Project Selection Committee (IPSC)

The innovative Project Selection Committee for each group shall be constituted as below:

1. Chairman R&D Cell – Chairman
2. Member of R&D Cell (Nominated by Chairman) – Member

3. Three Heads of Departments from MGI Institutions – Members

For the Inner-Disciplinary group Heads of the departments shall be chosen from appropriate groups.

No member shall be Supervisor/Co-Supervisor or Mentor for any proposal in the group.

F. Project Selection Procedure

Chairman IPSC shall notify schedule for review and selection of Innovative projects under the scheme. All Supervisors & Co-Supervisors are expected to attend the review meetings as per schedule. The IPSC shall prepare the minutes of the selection committee and shall seek approval from the management.

G. Intimation of selected project

Letter indicating selection of the project under the scheme shall be marked to the supervisor, a copy each will be marked to concerned HoD and Principal. The Chairman R&D Cell shall keep one copy for office records. The letter shall contain approval status, approved amount and list of approved items.

H. Fund Utilization

Project Supervisor shall utilize the fund as per sanction letter. Any deviation without formal approval of IPSC shall not be permitted; any expenses other than approved one shall be borne by the Supervisor.

I. Review of Progress of Selected Project

Respective IPSCs shall prepare schedules for review of progress of selected projects under the scheme. Reviews shall normally be taken in the months of October, January and April every year.

J. Depositing Project and Completion Report

After completion of final project examinations the Supervisor shall deposit the project in working condition to the Head of The Department. He shall procure utilization certificate from accounts section and shall submit utilization certificate along with brief report on the project to Chairman R&D Cell.

K. Ethics to be followed and further actions

The Supervisor shall not reveal details of the Project through any technical paper in conference or journal. He shall initiate submission of the project for acquiring patent.



MEGHE GROUP OF INSTITUTIONS
NAGAR YUWAK SHIKSHAN SANSTHA



Yeshwantrao Chavan College of Engineering, Nagpur

POLICY DOCUMENT

Policy No. F28

Policy Name: Financial Assistance for Innovative Minor Patentable Product Development	Policy Category: Faculty & Student
<p>1. Introduction: Innovative minor products which have potentials are needed for general use of society. Sometimes the product is so small that it cannot become part of UG/PG projects. Students and faculty members have shown interest in minor product development which can be of agriculture, rural, household or industrial use. The scheme is offered to ignite minds of innovative students and faculty in making a patentable minor product.</p> <p>2. Objective : To develop patentable minor products.</p> <p>3. Quantum of Financial Assistance: Normally maximum of Rs. 30000/- per product shall be sanctioned.</p> <p>4. Who can submit proposal Student/ Group of Students under a faculty supervisor can submit a proposal.</p> <p>5. Purchase of Project Components and other costs The project components as mentioned in the proposal and approved by the project selection committee should normally be purchased as per the defined procedure / guidelines of the institution / Sanstha, other expenses such as fabrication, consumables and contingencies shall be as per approved list. Any variation in the</p>	

list of components or consumables should be pre-approved from the selection committee.

6. Procedure for Applying

All interested student(s) who wish to avail financial assistance under this scheme should submit their proposal in the prescribed proforma, through a faculty supervisor to the Chairman R&D Cell by the date prescribed in the notification.

7. Procedure for Approval

All proposals will be reviewed by the selection committee, faculty member supervising proposals and the group of students shall be invited for discussions as per schedule decided by the committee.

8. Responsibility

The complete responsibility for the meaningful implementation of the project lies with the concerned faculty.

9. Standard Operating Procedure

Standard operating procedure for the Financial Assistance to Minor Patentable Product Development shall be as per Annexure 2.




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**FORMAT FOR SUBMISSION OF PROPOSAL
UNDER
Financial Assistance to Minor Patentable Product Development**

1. Institution:
2. Department:
3. Names of students with Email Ids and Cell Phone Nos.:
4. Name of Concerned Faculty Member(s):
 - i. Email:
 - ii. Mobile no. :

Proposed Minor Patentable Product Development

1. Title of Product :
2. Patent Search related to product:
3. Details of Proposed Product (Explain with photographs/sketches etc.):
4. **Financial Assistance Required:**
 - A. Non-Recurring (e.g. Components, accessories, etc.)

S. N.	Item	Approx. Cost	Justification
1.			
2.			
3.			
4.			
5.			

6.			
7.			
	Total (A)		

B. Recurring

S. N.	Recurring Details	Approx. Cost	Justification
1.	Consumables		
2.	Contingency		
3.	Fabrication / assembly		
	Total (B)		-

5. Utility of the product:

6. Possible Patentability:

7. Any other information which the concerned faculty may like to give in support of the proposal which may be helpful in evaluation

Undertaking

To undertake that:

- a) I/We shall abide by the rules/guidelines governing the scheme in case assistance is provided to me/us.
- b) I/We shall complete the project within the stipulated period. If I/We fail to do so and if the Committee is not satisfied with the progress of the project, the project may be terminated immediately and I/We will refund the amount proportional to the recurring expenditure incurred by me/us.

Date:

Name & Signature(s) of Students

Name & Signature of Supervisor

Forwarding by the HoD& the Principal

The proposal complies with the guidelines of the scheme including eligibility and is hereby recommended for consideration:

Date:

(Name and Sign of HoD)

(Name and Sign of the Principal)

Annexure 2

Date:

CIRCULAR

Subject: Standard Operating Procedure for Initiating, submission, review and completion of “Development of Minor Patentable Product”

A. Launch of scheme

The Chairman R&D Cell MGI shall notify launch of the scheme every year in first week of July, with prior approval of Management.

B. Submission of proposals under the scheme

Interested student(s) shall submit the proposal in prescribed format through faculty supervisor on or before the due date mentioned in the notification. The Chairman R&D Cell may extend the last date of submission with prior approval of management.

C. Grouping of Development of Minor Patentable Product

The proposals shall be grouped under following:

1. **Civil Engineering** – Civil Engineering, Environmental Engineering, Structural Engineering Projects
2. **Electrical Engineering** – Electrical Engineering, IPS Projects
3. **Electronics** – Projects from Electronics, Electronics & Telecommunication, Electronics & Communication, Communication Engineering, VLSI Design
4. **Computer Science** – Projects from Computer Technology, Information Technology, Computer Science and Engineering
5. **Mechanical Engineering** – Mechanical Engineering, Production Engineering, CAD/CAM
6. **Inter-disciplinary**

D. Selection Committee for Development of Minor Patentable Product (SCDMPP)

The Committee for each group shall be constituted as below:

1. Chairman R&D Cell – Chairman
2. Member of R&D Cell (Nominated by Chairman) – Member
3. Three Heads of Departments from MGI Institutions – Members

For the Inner-Disciplinary group Heads of the departments shall be chosen from appropriate groups.

No member shall be among those submitting proposal..

E. Project Selection Procedure

Chairman **SCDMPP** shall notify schedule for review and selection of **Development of Minor Patentable Product** under the scheme. All concerned students and faculty supervisors are expected to attend the review meetings as per schedule. The **SCDMPP** shall prepare the minutes of the selection committee and shall seek approval from the management. Selection procedure will be completed before end of July.

F. Intimation of selected project

Letter indicating selection of the project under the scheme shall be marked to the concerned faculty supervisor, a copy each will be marked to concerned HoD and Principal. The Chairman R&D Cell shall keep one copy for office records.

G. Fund Utilisation

Selected faculty shall utilize the fund as per sanction letter. Any deviation without formal approval of **SCDMPP** shall not be permitted; any expenses other than approved one shall be borne by the concerned department or faculty.

H. Review of the status of Selected Project

Respective **SCDMPPs** shall prepare schedules for review of status of selected projects under the scheme. Reviews shall normally be taken in the September.

I. Depositing Project and Completion Report

Students and supervisors are expected to submit the products by December 31. They shall submit the product to the R&D Cell. They shall procure utilization certificate from accounts section and shall submit utilization certificate alongwith brief report on the product to Chairman R&D Cell.

J. Initiation of Patenting Application

The supervisor shall initiate patenting of the product developed immediately.

Policy Document - 2020

Policy No. F06

Policy Name: Policy for Industrial/Research Laboratory Sabbatical leave to faculty members and KRA upon completion of Sabbatical and resuming the institution	Policy Category Faculty
Initial formulation No. & Date: MGI/NYSS/2020-21/Policy/11.11.2020/09	Revision Date 11.11.2016
Policy Statement: Policy for Industrial/Research Laboratory Sabbatical leave to faculty members and KRA upon completion of Sabbatical and resuming the institution	
Policy Description :	
Objectives	
<ul style="list-style-type: none">• Provide industrial/research lab exposure to the faculty.• Provide hands on with latest live R&D projects by joining R&D labs or R&D academia during their industrial training tenure.• Provide opportunity to the faculty mentors, interact with industrial/research organization experts to get an insight/exposure of latest technologies used by them.• Provide possible opportunities for faculty to learn, understand and sharpen the real time technical / managerial skills required at the job.• To enhance faculty's competency so that respective faculty can guide and contribute in the area of specialization.• To utilize industrial exposure and experience of the faculty in bridging the gap between industry and academia	
Regulations	
A. Eligibility	
<ul style="list-style-type: none">• Minimum ten years of Regular service• APR score minimum "Good"• The faculty member will be granted sabbatical in the industry/research lab.• The industry/research lab can be identified/approved by the faculty or the III Cell	



Policy Document - 2020

B. Duration and Compensation

1. A sabbatical leave may be granted for a period of two to three months (including vacation period if any).
2. The faculty member granted a sabbatical leave shall receive regular salary.
3. An allowance of Rs.750/- per day will be granted for accommodation and food expenses for outstation.
4. Travel expenses will be granted as per rules for outstation.

C. Initially, for the first two years only one faculty per department per year will be granted sabbatical leave

D. Application for Sabbatical Leave shall be made in writing and submitted to the III Cell through proper channel not later than 1st January preceding the sabbatical leave.

E. Upon completion of the sabbatical leave, the faculty member shall submit a report of the assignment/training completed during the sabbatical within 15 days to the III Cell through proper channel in the prescribed format .(Annexure 1)

F. Faculty members granted a sabbatical leave, is required to serve the organization for a period of at least two years following the completion of the sabbatical leave. A faculty member who fails to satisfy this obligation, has to return the salary paid during sabbatical leave.

The Industrial training sabbatical has to be meaningful and mutually beneficial to the faculty and the organization. Hence, it is important that the KRA of the faculty undergone industrial sabbatical is well defined.

Key Responsibility Areas :

The concerned faculty who has completed industrial/research lab sabbatical should :

- Involve in establishment of Industry supported lab.
- Introduce new industry aligned subject/elective in the SoE.
- Involve in joint project/ research with same industry.
- Work on live problem statement of the related industry with the students
- Arrange industrial visit in the same industry/organization
- Explore semester long / summer internship with the related industry



Policy Document - 2020

- Design and introduce Accelerated Growth Program for students based on expectations of industry to minimize gap between industry and academia and enhance employability of students

It will be the responsibility of the concerned HOD to allot the AWL target of following year appropriately as per the KRA of the faculty member who has availed the sabbatical.

Role of the III Cell

III Cell is a nodal point of contact for companies seeking to establish a meaningful relationship with the Institute. The placement team consists of Professor In charge, Faculty In-charge, Training and Placement officer and the secretariat.

III cell will actively implement following guidelines for Industrial Sabbatical program:

- The cell will put its best efforts to ensure that top notch opportunities are brought for Industrial trainings.
- The cell will send Invitation mail to Industries/Organization for offering industry sabbatical to the faculty members of the organization. Local industry to be preferred.
- The cell will do collaborations or sign MoU with the required Industries /organization /Platforms for availing Industrial trainings opportunities for the faculty.

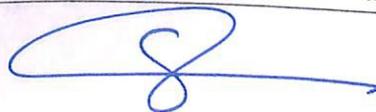
Roles and Responsibilities of the Industry/Organization

Although industry will be monitoring and evaluating industrial training as per their standard criteria, the organization would expect the following co-operation from the industry/organization providing sabbatical :

- The industry/organization will allot at least one mentor, who will be mentoring the trainee faculty throughout his/her industrial training tenure.
- Assigned Industrial mentor will monitor and evaluate and also will share the assessment form with the Head of the department on completion of industrial training.
- The industry/organization policies and job description should be clearly shared with the trainee.
- Industry/organization must maintain the attendance record of the trainee.
- To issue an Industrial training completion certificate to the faculty.

Monitoring and Evaluation :

- It will be the responsibility of concerned HOD to monitor the attendance and



Policy Document - 2020

performance of the faculty availing sabbatical leave on weekly basis

- **First Assessment (will be done within 4 weeks by Head of the department)** will be conducted to understand the trainee's vision and strategy for industrial training tenure. The faculty mentor will assist him/her in grooming, goal setting and defining milestones for remaining tenure.

Final assessment will be done in two sections - Final Assessment (A) & Final Assessment (B).

The Final assessment (A) will be done by the Industrial mentor while the Final assessment (B) will be done by the faculty group constituted by the Head of the respective departments.

Annexure 1

Report format :

Name of the faculty granted industrial sabbatical :

Department:

Designation :

Name of the industry/organization where sabbatical was completed :

Brief description of the training acquired :

Statement of acquisition of new skill set / outcome of industrial sabbatical :

Objective Plan of utilization of newly acquired skill set and industry exposure for the benefit of students and organization :

Financial implications on the institution :

- **Rs. 750 per day expenses towards food and accommodation (Rs.67,500 for 90 days/3 months) for outstation industry**
- **One time To and Pro Travel expenses as per rules**

✓


Secretary
NYSS

Policy Document - 2016

Policy No.F03

Policy Name: Financial Assistance for Conference/ STTPs/ Workshops within/ Outside Country.	Policy Category Faculty
Initial formulation No. & Date: DMIMS/Head Office/Policy/2016, Dated- 11/11/2016	Revision Date 11.11.2016
Policy Statement: Policy for providing financial assistance to faculties for participating in Conference/ STTPs/ Workshop within/ Outside India.	

Policy Description:

A. For National/ International Conference In India

- i. Hosted by institutes such as IITs/ NITs/ IIMs/ IIITs/ Government Institutions/ Deemed Universities (NAAC/NBA Accredited)/ Autonomous Institutes (NAAC/NBA Accredited), 100% Registration fees will be given (Subject to Maximum of Rs. 5000 to first Author) & TA/DA as per entitlement.
- ii. For Self Financing Institutions (NAAC/NBA accredited), registration fees maximum of Rs. 3000 will be sanctioned & TA/DA as per entitlement.
- iii. Maximum three faculty members per Institution (Max. 2 per department) will be allowed to participate in the same Conference.

B. For International Conference Outside India

- i. Hosted by Professional Societies such as IEEE/ ASME/ ASCE/ Any other as approved by competent authority in countries like Dubai, Singapore, Malaysia & China, Rs. 35000 per faculty as overall assistance, including TA/DA will be sanctioned. For countries like USA, UK, Australia & NZ, Rs. 50000 per faculty as overall assistance, including TA/DA will be given. (The assistance can be availed by the faculty only once in a year).
- ii. Participating faculty has to apply for travel grant to AICTE/ any other funding agency prior to submission of application to the institution. In case of allotment of grant by the funding agency, the amount shall be refunded back to the institution.
- iii. Maximum 2 faculty members per year per institute will be allowed to participate.
- iv. Permission for attending international conference outside the country will be recommended by HoI and shall be approved by Competent Authority.

C. For STTPs/ Workshop

- i. Hosted by institutes such as IITs/ NITs/ IIMs/ IIITs/ Government Institutions/ Deemed Universities (NAAC/NBA Accredited)/ Autonomous Institutes (NAAC/NBA Accredited), maximum of Rs. 3000 or actual (whichever is less) towards registration fees will be sanctioned along with TA as per entitlement.
- ii. For Self Financing Institutions (NAAC/NBA accredited), maximum of Rs. 2000 or actual (whichever is less) towards registration fees will be sanctioned with 50% of TA as per entitlement.

Policy Document - 2016

- iii. Maximum 4 faculties per Institution (Max. 2 per department) will be allowed to participate in the same STTP/Workshop.

Note:

1. Eligibility: Minimum one year of continuous service in MGI as UGC Regular faculty or with minimum 5 years affiliation with the institution.
2. In case of A & B, Paper presentation is mandatory and the Policy will be applicable only to the first author. In case of co-author (Max. 1) attending the same conference, only duty leave will be granted.
3. Faculty attending STTP/ Workshop will share the knowledge gained to the departmental faculties through a half day session within 2 weeks of attending the same.
4. In case of multiple applications, preference will be given to the faculty who has not availed the benefit previously.


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Policy Document - 2016

Policy No. F05

Policy Name: In House Minor Project Scheme	Policy Category Faculty
Initial formulation No. & Date: NYSS/DO/2011/1489 dated 06/01/2011; NYSS/CEO/Policy/2013/752 dated 16/11/2013; NYSS/CEO/Policy/2014/54 dated 09/01/2014	Revision Date 11.11.2016
Policy Statement: In-house Minor Project Scheme for Research/Product Development work	

Policy Description :

1. Introduction:

In order to promote Teaching, Research and Development in emerging areas in Pure Science, Engineering and Technology, etc., it is proposed to initiate an Inhouse Minor Project Scheme providing financial assistance of maximum Rs.1.00 lac/project for the projects recommended by the Selection Committee.

2. Objective:

To initiate R&D activities on short terms basis and to promote excellence in Research in the field of Pure Science, Engineering and Technology on long term basis.

3. Quantum of Financial Assistance:

Maximum of Rs.1.00 lac/faculty member for the duration of project. 50% amount shall be sanctioned in the beginning and remaining 50% amount will be released subject to submission of Utilization Certificate and the recommendation of the project Review Committee. The Project Evaluation Committee will decide the milestone and cycle of disbursal of sanctioned amount. However, if the Principal Investigator needs amount at various stages, he should propose the schedule of payment of requirement.

4. Duration of the project: Maximum 2 years. No extension will be admissible.

5. Eligibility:

For both Principal & Co - Investigator:

Faculty members on Regular Scale; either Management Regular or University approved in the Engineering (Degree & Diploma) or Management Institutions under MGI.

6. Purchase of Equipment(s):

The equipment(s) as mentioned in the proposal and approved by the Evaluation Committee/Project Review Committee should only be purchased as per the defined procedures/guidelines of the Institution/Sanstha. Once the Project is completed, the Equipments will be deposited in the Department Laboratory and will become Institutional Property.

7. Purchase of Books & Journals:

The print material/e-resources acquired by the Principal Investigator under this scheme must be



Yeshwantrao Chavan College of Engineering, Nagpur

POLICY DOCUMENT

Policy No. F27

Policy Name: Financial Assistance for Innovative Experimental Setup Development	Policy Category: Faculty
<p>1. Introduction: Existing experimental setups are becoming obsolete in some disciplines, development of new experimental setup or modification of existing setup is needed for adding new experiments in laboratories, and some setups are also needed to carryout research activities. The scheme provides financial assistance to such setups.</p> <p>2. Objective : To develop innovative experimental setup for upgrading experiments and research facilities in the laboratory.</p> <p>3. Quantum of Financial Assistance: Normally maximum of Rs. 25000/- per setup shall be sanctioned, in exceptional cases this can be enhanced to Rs. 50000/- .</p> <p>4. Who can submit proposal Laboratory in-charges, faculty member(s) associated with the concerned subject are expected to submit proposal.</p> <p>5. Purchase of Project Components and other costs The project components as mentioned in the proposal and approved by the project selection committee should normally be purchased as per the defined procedure / guidelines of the institution / Sanstha, other expenses such as fabrication,</p>	

consumables and contingencies shall be as per approved list. Any variation in the list of components or consumables should be pre-approved from the selection committee.

6. Procedure for Applying

All laboratory in-charges/ faculty member(s) who wish to avail financial assistance under this scheme should submit their proposal in the prescribed proforma, to the Chairman R&D Cell by the last date prescribed in the notice.

7. Procedure for Approval

All proposals will be reviewed by the selection committee, faculty member submitting proposal shall be invited for discussions as per schedule decided by the committee.

8. Responsibility

The complete responsibility for the meaningful implementation of the project lies with the concerned faculty.

9. Standard Operating Procedure

Standard operating procedure for the Financial Assistance to Minor Patentable Product Development shall be as per Annexure 2.




Principal
Yeshwantrao Chavan
College of Engineering
Wanadongri Hingna Road,
NAGPUR - 441110



**FORMAT FOR SUBMISSION OF PROPOSAL
UNDER
Financial Assistance to Innovative Experimental Setup Development**

1. Institution:
2. Department:
3. Name of Laboratory:
4. Concerned Subject:
5. Name of Concerned Faculty Member(s):
 - i. Email:
 - ii. Mobile no. :

Proposed Innovative Experimental Setup Development

1. Title of Setup :
2. New of Modification to existing:
3. If it is modification to existing one, give details of components available:
4. Details of Proposed Product (Explain with photographs/sketches etc.):
5. **Financial Assistance Required:**
 - A. Non-Recurring (e.g. Components, accessories, etc.)

S. N.	Item	Approx. Cost	Justification
1.			

2.			
3.			
4.			
5.			
6.			
7.			
	Total (A)		

B. Recurring

S. N.	Recurring Details	Approx. Cost	Justification
1.	Consumables		
2.	Contingency		
3.	Fabrication / assembly		
	Total (B)		-

6. Utility of the Setup (In terms of new experiments to be added, research etc):

7. Possible Patentability of the setup:

8. Any other information which the concerned faculty may like to give in support of the proposal which may be helpful in evaluation

Undertaking

To undertake that:

- a) I/We shall abide by the rules/guidelines governing the scheme in case assistance is provided to me/us.
- b) I/We shall complete the project within the stipulated period. If I/We fail to do so and if the Committee is not satisfied with the progress of the project, the project may be terminated immediately and I/We will refund the amount proportional to the recurring expenditure incurred by me/us.

Date:

Name & Signature(s) of faculty

Forwarding by the HoD& the Principal

The proposal complies with the guidelines of the scheme including eligibility and is hereby recommended for consideration:

Date:

(Name and Sign of HoD)

(Name and Sign of the Principal)

Annexure 2

Date:

CIRCULAR

Subject: Standard Operating Procedure for Initiating, submission, review and completion of “Innovative Experimental Setup Development”

A. Initiation of the scheme

The Chairman R&D Cell MGI shall notify initiation of the scheme every year, with prior approval of Management.

B. Submission of proposals under the scheme

Interested faculty members(s) shall submit the proposal in prescribed format through faculty HoDr on or before the due date mentioned in the notification. The Chairman R&D Cell may extend the last date of submission with prior approval of management.

C. Grouping of Development of Minor Patentable Product

The proposals shall be grouped under following:

1. **Civil Engineering** – Civil Engineering, Environmental Engineering, Structural Engineering Projects
2. **Electrical Engineering** – Electrical Engineering, IPS Projects
3. **Electronics** – Projects from Electronics, Electronics & Telecommunication, Electronics & Communication, Communication Engineering, VLSI Design
4. **Computer Science** – Projects from Computer Technology, Information Technology, Computer Science and Engineering
5. **Mechanical Engineering** – Mechanical Engineering, Production Engineering, CAD/CAM

D. Selection Committee for Development of Innovative Experimental Setups (SCDIES)

The Committee for each group shall be constituted as below:

1. Chairman R&D Cell – Chairman
2. Member of R&D Cell (Nominated by Chairman) – Member
3. Three Heads of Departments from MGI Institutions – Members

No member shall be among those submitting proposal.

E. Project Selection Procedure

Chairman **SCDIES** shall notify schedule for review and selection of **Setups** under the scheme. All concerned faculty members are expected to attend the review meetings as per schedule. The **SCDIES** shall prepare the minutes of the selection committee and shall seek approval from the management. Selection procedure will be completed as per predefined schedule.

F. Intimation of selected project

Letter indicating selection of the project under the scheme shall be marked to the concerned faculty, a copy each will be marked to concerned HoD and Principal. The Chairman R&D Cell shall keep one copy for office records.

G. Fund Utilisation

Selected faculty shall utilize the fund as per sanction letter. Any deviation without formal approval of **SCDIES** shall not be permitted; any expenses other than approved one shall be borne by the concerned department or faculty. Faculty members are expected to complete the project during summer vacations.

H. Review of the status of Selected Project

Respective **SCDIESs** shall prepare schedules for review of status of selected projects under the scheme. Reviews shall normally be taken in the month of June or July.

I. Depositing Setup and Completion Report

Faculty members are expected to submit the setups by second week of July along with laboratory manuals of new experiments and manual for working of setup to respective head of department. They shall procure utilization certificate from accounts section and shall submit utilization certificate along with brief report on the setup to Chairman R&D Cell.

J. Initiation of Patenting Application

The supervisor shall initiate patenting of the setup developed, if there is potential for patenting.

Policy Document - 2016

Policy No. F04

Policy Name: Incentive for Proposals funded by Government Agencies	Policy Category Faculty
Initial formulation No. & Date: Ref: NYSS/DO/2010/, Date:21/08/2010	Revision Date 11.11.2016
Policy Statement: Policy for Grant of Incentive to faculty members for Proposals funded by Government funding agencies.	

Policy Description :

This policy has been formulated to create & disseminate a culture of writing & submitting research proposals to various Government funding agencies, thereby developing state of art of lab facilities in the institution. The policy will facilitate the faculty members to enhance cognizance towards recent trends in their respective field.

Terms of the policy:

- Incentive of 3% on overall amount will be given to faculty members for receiving funds from MODROB project funded by AICTE.
- Incentive of 5% on overall amount will be given to faculty members for getting any proposal/ project funded by any of the Government funding agencies.
- In case of two investigators, principal investigator will get 3% incentive and the co-investigator will get 2% incentive for funds received other than MODROB projects.
- This incentive will be over & above the Sanctioned amount approved by concerned funding agencies.
- The principal Investigator will apply to the HoI for claiming the incentive within one month on receipt of D.D./Cheque/Pay Order from the funding agency.


Secretary
NYSS



Yeshwantrao Chavan College of Engineering

(An Autonomous Institution affiliated to Rashtrasant Tukadoji Maharaj Nagpur University)

Hingna Road, Wanadongri, Nagpur - 441 110

Ph.: 07104-237919, 234623, 329249, 329250 Fax: 07104-232376, Website: www.ycce.edu

Ref. : YCCE/Adm./2021-22/ 749

5th July 2021

OFFICE ORDER

Sub. - Appointment of new Functional Heads (FH's).

As approved by Competent Authority, the following faculty members are appointed as Functional Heads (FH's) as per the portfolio mentioned below :-

SN	Name of Faculty	Portfolio
1	Dr. S.P. Raut	HoD, Civil Engineering
2	Dr. J.P. Giri	HoD, Mechanical Engineering
3	Dr. S.G. Kadwane	HoD, Electric Engineering
4	Dr. R.D. Thakare	HoD, Electronics Engineering
5	Dr. M.S. Narlawar	HoD, Electronics & Telecommunication Engineering
6	Dr. Mrs. Rakhi D. Wajgi	HoD, Computer Technology
7	Dr. L. B. Damahe	HoD, Computer Science & Engineering
8	Dr. R.C. Dharmik	HoD, Information Technology
9	Dr. Mrs. U. H. Gawande	Dean (R&D)
10	Dr. Mrs. G.M. Dhopavkar	Dean (T&P) I/C Centre of Excellence, AI & ML
11	Dr. A. P. Munshi	Dean (Student Activities)
12	Dr. Mrs. M. P. Gandhi	BE I Year Coordinator
13	Dr. Mrs. H.V. Ganvir	HoD, Physics
14	Dr. Mrs. M.A. Adak	HoD, Mathematics & Humanities

The tenure of above Functional Heads will be of three (03) years i.e. upto 30.06.2024. They will take the charge of their portfolio from existing FH's on 7th July-2021 in forenoon and complete all the formalities.

Dr. U.P. Waghe
Principal

To,

- All above FH's
- Registrar / Dean (Acad. Matters) / Dean (P&D)
- Director (R&D) / Director (Placement)
- In-charge (Student Activities) / TPO / Social Media Coordinator
- C.O.E. / Dy. C.O.E.
- All HODs : CE / ME / EP / ET / CT / EE / IT / Phy / Chem. / Maths
- BE I Year Coordinator
- Librarian
- Chief Administrative Officer
- Mr. Manish Hadap, System Analyst
- Workshop Superintendent
- CA-Shri Ravin Singh



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Ref. : YCCE/Adm./2021-22/835

20th July 2021

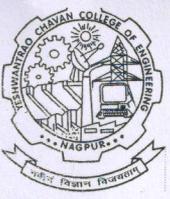
OFFICE ORDER

Sub. - Appointment of new Functional Heads (FH's).

As approved by Competent Authority, the following additional portfolios are created for smooth functioning of various activities. The following faculty members are appointed as Functional Heads (FH's) as per the portfolio mentioned below :-

SN	Portfolio	Name of Faculty	Remark
1	Dean (International Relations)	Dr. Mrs. S.V. Rathkanthiwar (EE)	
2	Dean (Outcome Based Education)	Dr. Sharad Choudhary (ME)	
3	Head - ED Cell	Dr. S.T.Bagade (ME)	
4	Assistant Dean (Academic Matters)	Dr. Mrs. Prarthana Deshkar (CT)	
5	Assistant Dean (P & D)	Dr. D.B. Bhoyar (ETC)	
6	Assistant Dean (International Relations)	Dr. Mrs. Amoli Belsare (ETC)	
7	Advisor (Research Center Administration)	Dr. R.M. Moharil (EL)	
8	Assistant Dean (Funding proposals)	Dr. Mrs. Yogita Chitriv (ETC)	
9	Assistant Dean (Research Publication)	Dr. S.P. Gawande (EL)	Working under Dean (R&D)
10	Assistant Dean (Faculty / Start up IPR)	1. Dr. S.S. Khedkar (ME) 2. Dr. Mrs. Nita Rehpade (ETC)	
11	Assistant Dean (YCCE Journal & Research Portal)	Dr. Mrs. Prachi Palsodkar (EE)	
12	Assistant Dean (Training)	Prof. Mrs. Dipti Kashyap (ME)	Working under Dean (T&P)
13	Assistant Dean (Consultancy)	Prof. Mrs. Rupa Fadnavis (IT)	
14	Assistant Dean (Internship)	Dr. Mrs. Monika Kalbande (EE)	
15	Assistant Dean (Centre of Excellence, AI+IOT)	Prof. Mrs. Roshni Khedgaonkar (CT)	Working under Dean (SA)
16	Assistant Dean (Alumni Activities)	Prof. Gaurav Gondhalekar (EL)	
17	Assistant Dean (Cultural & Technical Activities)	Prof. V.R. Doifode (EL)	
18	Assistant Dean (NSS & Extension Activities)	Prof. Mrs. N.R. Wankhede (IT)	
19	Assistant Dean (Student's Club)	Prof. Mrs. S.S. Thombre (CT)	
20	Coordinator (Institutional Magazine)	Prof. Mrs. S.S. Gugulothu (IT)	

Contd..2.



Nagar Yuwak Shikshan Sanstha's

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:: 2 ::

21	Assistant HoD (CE)	Prof. B.P. Nandurkar	
22	Assistant HoD (ME)	Dr. R.B. Chadge	
23	Assistant HoD (EL)	Prof. Mrs. Xma Pote	
24	Assistant HoD (EE)	Dr. P.P. Zode	
25	Assistant HoD (ETC)	Prof. Mrs. A.V. Chaudhari	
26	Assistant HoD (CT)	Prof. Mrs. Smita Kapse	
27	Assistant HoD (IT)	Prof. S.W. Shende	

The tenure of above Functional Heads will be of three (03) years i.e. upto 30.06.2024. They will take the charge of their portfolio on or before 22nd July-2021 in forenoon and complete all the formalities and report to their Dean / HoD's for further directions. All Assistant Deans / Assistant HoDs will work in coordination with concerned Deans / HoDs.


Dr. U.P. Waghe
Principal

To,

- Registrar
- Dean (Acad. Matters) / Dean (P&D)
- Dean (R&D) / Dean (T&P) / Dean (SA)
- C.O.E. / Dy. C.O.E.
- ALL HOD's. : CE / ME / EE / ET / EP / CT / IT / Maths / Phy. / Chem.
- B.E. 1st Year Coordinator
- Librarian
- Workshop Superintendent
- Administrative Officer
- Mr. Manish Hadap, System Analyst
- Hostel In-charge
- Biometric
- Maintenance Deptt.
- Store Deptt.
- CA-Shri Ravin Singh
- All Student Notice Board



RASHTRASANT TUKADOJI MAHARAJ NAGPUR UNIVERSITY

(Established by Government of Central Provinces Education Department by Notification No.513 dated the 1st August 1923 & presently a State University governed by Maharashtra Public Universities Act, 2016(Mah. Act No.VI of 2017)

COLLEGE DEVELOPMENT SECTION

Jamnala Bajaj Administrative Building, Mahatma Jotiba Phule Educational Campus, Campus to Ambazari T-Point Road Nagpur-440033

Phone No-0712-2522390, Fax No. 0712-2555701, Email ID : infoarcollege@ymail.com

No.RTMNU/CDS/2023/6120

Date : 15 /12/2023

To,

The Principal,
Yeshwantrao Chavan College of Engineering,
Hingna Road, Wanadongri ,
Nagpur-441110,

Subject:- Your Application for Recognition as "Place for Higher Learning and Research" for **Renewal**.

Reference:- Your Application dated 16/05/2023

Sir/Madam,

With reference to the above cited subject, this is to inform you that your application for **renewal** Recognition as place for Higher Learning and Research has been processed, as per the provisions of Section 111(7) of Maharashtra Public Universities Act, 2016 and Direction 34 of 2023.

A committee constituted by the Board of Deans has verified the infrastructural facilities, academic, administrative and financial standards of your Institute.

The report, so submitted by the committee was considered and approved by the Board of Deans and thereafter by the Hon'ble Vice Chancellor.

Accordingly, Yeshwantrao Chavan College of Engineering, Hingna Road, Wanadongri Nagpur, is being granted renewal recognition as "Place for Higher Learning and Research" to the following Department.

Sr. No.	Name of the Department	Intake
1.	Mechanical Engineering	As per Provision in clause 11 of Direction 34 of 2023
2.	Computer Technology	

The "Recognition" so granted, shall be for a period of "Five Years" from the date of issuance of this communication.

You are also requested to submit six monthly progress report of your research centre to the undersigned.


(Dr. Raman Madne)
Deputy Registrar

Copy to:-

1. The Deputy Registrar, (Ph.D. Cell) Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur.
2. The Director, Higher Education, Maharashtra State, Central Building, Pune-01



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COLLEGE DEVELOPMENT SECTION

Jamnalsai Bajaj Administrative Building, Mahatma Jotiba Phule Educational Campus, Campus to Amliazan T-Point Road Nagpur-440033
Phone No-0712-2522390, Fax No. 0712-2555701, Email ID : info@college@ymail.com

No.RTMNU/CDS/2024/ 7027C/3110

Date : 07/06/2024

To,

✓ The Principal,
Yeshwantrao Chavan College of Engineering,
Hingna Road, Wanadongri,
Nagpur-441110

Subject:- Your Application for Recognition as "Place for Higher Learning and Research" for **Renewal**.

Reference:- Your Application dated 17/02/2024

Sir/Madam,

With reference to the above cited subject, this is to inform you that your application for **renewal** Recognition as place for Higher Learning and Research has been processed, as per the provisions of Section 111(7) of Maharashtra Public Universities Act, 2016 and Direction 34 of 2023.

A committee constituted by the Board of Deans has verified the infrastructural facilities, academic, administrative and financial standards of your Institute.

The report, so submitted by the committee was considered and approved by the Board of Deans and thereafter by the Hon'ble Vice Chancellor.

Accordingly, Yeshwantrao Chavan College of Engineering, Hingna Road, Wanadongri Nagpur, is being granted renewal recognition as "Place for Higher Learning and Research" to the following Department.

Sr. No.	Name of the Department	Intake
1.	Civil Engineering,	As per Provision in clause 11 of Direction 34 of 2023
2.	Electronics Engineering	
3.	Electrical Engineering	

The "Recognition" so granted, shall be for a period of "Five Years" from the date of issuance of this communication.

You are also requested to submit six monthly progress report of your research centre to the undersigned.


(Dr. Raman Madne)
Deputy Registrar

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1. The Deputy Registrar, (Ph.D. Cell) Rashtrasant Tukadoji Maharaj Nagpur University, Nagpur.
2. The Director, Higher Education, Maharashtra State, Central Building, Pune-01

Research Scholar

Rules and Regulations

(Based on Direction 11 & 34 of 2023 issued by

RTM Nagpur University)

Session 2023-24
Yeshwantrao Chavan College of Engineering
(Autonomous Institution Affiliated to Rashtrasant Tukadoji Maharaj Nagpur University)
Hingna Road, Wanadongri, Nagpur.

Preamble

Institute offers PhD programs in various engineering branches. The broad objective of these Ph.D. programs is to headway towards the expanding boundaries of knowledge and to support research activity relevant to the present social and economic objectives of the country. These regulations are prepared to enhance the contribution of PhD scholars to the intellectual development and academic success of PhD scholars and the institute. These rules and regulations are meant to encourage stake holders to examine their PhD programs and to specify their own policies and procedures, all while upholding academic excellence. These rules and regulations shall govern all Ph.D. programs in Yeshwantrao Chavan College of Engineering, Nagpur (An autonomous Institute affiliated to RTM Nagpur University, Nagpur). These rules and regulations supersede all previous relevant rules and regulations. These rules and regulations are as per Direction 11 & 34 of 2023 of RTMNU, Nagpur.

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Research center formats

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RC-2 : Pre registration seminars

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RC-7 : Report of Pre-Submission Seminar

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RC-10 : Proforma for recommendation of submission of thesis

IMPORTANT COMMITTEES

SN.	NAME OF COMMITTEE	SCOPE	MEMBERS
1.	Research Advisory Committee (RAC)	Department Level Research Centre	Refer to Section 12 of Direction 34 of 2023 of RTMNU
2.	Research Centre Committee (RCC)	Institute Level Committee	Chairman: Dean R and D Members: All the Research Centre (RC) Coordinators
3.	Research & Recognition Committee (RRC)	University Level	Refer to Section 4 of Direction 34 of 2023 of RTMNU

1.0 Research Centre Guidelines

1.1 Admission Guidelines

The Research Centre admission criteria shall be governed by *Direction 34 of 2023 of RTMNU* issued by the Rashtrasant Tukadoji Maharaj Nagpur university Nagpur and other directions issued by the university from time to time. The direction is regarding eligibility criteria and procedure for registration of candidates

1. List of **available guides, vacancies under** them and **respective areas** of research shall be notified on the college website www.ycce.edu. A **call** for intents for pursuing research shall also be put on this web site by Dean R&D.
2. Interested candidates shall apply through intent format.
3. Eligible candidates will be required to appear personally for discussions with the Research Advisory Committee (**RAC**). The committee shall **allocate supervisors** to deserving candidates based upon availability of seats, area of research proposed and expertise of supervisors available.
4. After allotment of guides, PhD scholars has to complete the Pre-PhD course work of 12 credits within a span of one year which may be extended for further by six months by the Head of Research institute.
5. The credit assigned to Pre Ph.D. – Course Work will be of 12 credits. A minimum of 6 credits shall be assigned to one or more courses on Research Methodology, which could cover areas such as quantitative methods, computer applications, research ethics and review of public research in the relevant field, training, field works etc. Other course work shall be of advanced level preparing the students for PhD degree (Refer Annexure – III of Direction 11 & 34 of 2023 of RTMNU and related guidelines issued for more details).
6. Candidates can proceed for PhD title registration after completion of atleast 6 credits of Research Methodology.
7. Selected candidates shall **finalize synopsis** in consultation with the supervisor allotted.
8. The candidate is required to deliver a **pre-registration seminar** before the Research Advisory committee (RAC) for the purpose to evaluate the suitability of the topic to pursue research in the proposed area. Date of such pre-registration seminar shall be notified on the departmental notice board.
9. On approval by the Research Advisory committee (RAC) in proforma **RC-1**, the candidate shall be permitted to complete formalities.

10. If the RAC recommends corrections / modifications, the candidate shall make corrections / modifications suggested by the RAC. The candidate shall discuss these modifications with RAC members. Only on the approval of RAC such candidate shall be permitted to complete other formalities.
11. If the applicant is a working professional, then '**NO OBJECTION CERTIFICATE**' from the employer should be submitted along with the application form.
12. Applicant shall submit the printed copy of the following online application forms duly filled-in along with relevant enclosures to the concerned Head of the Department, Yeshwantrao Chavan College of Engineering, Nagpur for verification.
 - a. Admission form of YCCE (online)
 - b. Registration form of RTMNU (online)
13. Fees finalized by the management shall be applicable to all scholars. Applicable fees shall be paid in the form of online mode or demand draft in favor of the "Principal, YCCE", shall be submitted along with the application form, the coordinator shall issue payment slip (RC-3).

Details for Online Submission of fees (NEFT/RTGS) :-

Name of Account Holder: - "The Principal , Yeshwantrao Chavan College of Engineering"

Bank Name : - Tirupati Urban Cooperative Bank Ltd.

Account Number : - 007002100000459

IFSC Code : - HDFCOCTUB07

14. **YCCE admission form and copy of fee payment receipt will be submitted to accounts office and the file of admitted student will be maintained by Departmental Research Coordinator.**
15. Applicant shall pay separately the prescribed **fees of RTM Nagpur University.**
16. **After verification of printed forms, relevant documents and payment of fees candidate will take signature of Principal and submit the PhD registration form to the university before the due date.**
17. If selected candidates do not report for admission within prescribed time frame, waiting list will be operated.

1.2 Post Admission Activities

1. After approval of registration by the RTM Nagpur university, the candidate shall be referred as a **scholar registered for Ph.D.** with the **RTM Nagpur university** with place of research as Yeshwantrao Chavan College of Engineering, Nagpur

2. All applicants are advised to visit the University website regularly; any discrepancy pointed out by the university regarding registration shall be addressed by the applicant within stipulated time.
3. The applicant shall be governed by the **Rules, Statutes, Directions and Guidelines issued by the RTM Nagpur university** from time to time and directives of the college.
4. It will be mandatory for the scholar to put his affiliation as “**Research Scholar**, Yeshwantrao Chavan College of Engineering, Nagpur in all **publications** based on research to be carried out with YCCE as research centre. Before submitting any paper to conference or journal, the supervisor shall ensure that the **plagiarism check** is done.
5. The scholar shall submit **six monthly progress reports** in the prescribed format (RC-4) at least **5 days prior** to delivering a progress seminar.
6. The scholar shall appear before the Research Advisory Committee once in **every six months** after his /her registration for PhD programme to make **presentation** of the progress of his/her work for evaluation and further guidance, according to the schedule given by the research center. The **recommendations** of the Research Advisory committee (**RAC**) shall be considered while forwarding the progress report to RTM Nagpur University.
7. **Presence of Guide shall be mandatory in the progress seminars.**
8. In case the candidate **is unable to deliver** the seminar for any genuine reason, he should inform the **RC coordinator** in advance. If the scholar remains absent in **more than two consecutive seminars** (for whatever reason), then the **registration** of the candidate shall be **cancelled** by the research center, and no further claims on the registration shall be entertained.
9. Submission of progress reports to Controller of Examination, YCCE through Head of Department /Research Center Coordinator within a period of **one month** from the date of presentation of the progress report will be the responsibility of the scholar.
10. Research Center coordinator shall compile information of progress seminar in proforma RC-5.
11. Scholar shall pay semester **fees** prescribed by the college in the form of online mode or through demand draft in favor of the “Principal, YCCE”. The fees should be paid in the months of **June** and **December** every year during the research period. For non-submission of fees in time, fine shall be imposed and may not be permitted for progress seminar.
12. The applicant shall be permitted to use **relevant research facilities** available in the college and **library facilities**.

1.3 Activities after completion of Research

1. All full time sponsored registered scholars must publish at least **two reputed international conference papers out of which one conference paper must be published in a reputed WOS/SCOPUS conference and two SCI indexed journal papers based on their research work.**
2. All full time non-sponsored and Part time scholars must publish **two reputed conference papers and two journal papers out of which one must be in SCI indexed journal and one SCI/SCOPUS/WoS indexed journal.**
3. In all research publications PhD scholar will be a **first author** and write his **affiliation as Research Scholar at Yeshwantrao Chavan College of Engineering** and his/her institute affiliation (if required), during their tenure as a research scholar and before delivering the pre-submission seminar.
4. If in research publications affiliation as research scholar is not mentioned then that publication will **not be considered** as a part of research work.
5. Well established process defined by publication research vertical of YCCE is to be followed by all PhD research scholars.

The scholar shall apply for **Pre-Submission seminar** through proforma RC-6 to the Head of the Department.

1. After reviewing information in RC-6 and ensuring publications as per section 1.3.1 or 1.3.2, HoD shall consult RAC members, and **decide the date and time of the Pre-Submission Seminar.**
2. Pre-submission seminar shall be conducted in the **presence of RAC and approved supervisors in the department.** Presence of Guide & Co-Guide shall be mandatory in this seminar. Other research scholars, PG students and faculty shall be invited to attend the seminar.
3. Intimation of the seminar shall also be given to other departments, Dean (R&D) and Advisor (PhD).
4. The scholar shall give a **detailed presentation** on the research carried out after registration of title.
5. The **RAC** shall submit a report in **RC-7** proforma.
6. If minor corrections are suggested by the RAC, the scholar shall carry out these changes and present pre-submission seminar at a **suitable date.**
7. If the RAC is **not satisfied** with research work presented during pre-submission seminar, then the scholar shall carry out further research, for the period (not less than **three months**) decided by RAC and then shall re-apply for pre-submission seminar through RC-6 format.

8. On approval by the **RAC**, the scholar shall **complete college level formalities** including no dues certificate and plagiarism check of all relevant chapters of the thesis.
9. The scholar shall be permitted to submit **Summary Sheet / Thesis** to the University.
10. The scholar shall inform the research center coordinator about **post submission developments including date of thesis defense, University notification of award of degree and post submission publications.**
11. **Before submission of thesis to the college**, all the Ph.D. students shall submit the **soft copy of their thesis** to the **Chairperson** of the concerned Board of Studies in the college for **detecting plagiarism**. The Chairperson of concerned Board of Studies in the college shall issue the certificate of non-plagiarism through Turnitin or equivalent system of UGC to the candidate after processing the Ph.D. thesis. In any case plagiarism should not exceed 10% . For details please refer to section 20 and 21 of direction 11 provided by RTMNU.
12. The candidate shall submit the thesis to the Controller of Examination, YCCE only after he/she receives the Non- Plagiarism Certificate duly certified by the Head of Department/Chairman Board of Studies, as per section 20 of direction 11 given by RTMNU.
13. The scholar must adhere to the most recent format and guidelines for thesis writing provided by the research center.

2.0 Coordination of Research Centre Activities

For smooth working of the functioning of Research Centre Activities, various committees shall function. Details of functioning of these committees and coordinator are given below:

2.1 Research Centre Committee (RCC)

The committee of all RC coordinators as members, Advisor (PhD) and with the Dean R&D as chairman shall be the Research Centre Committee. The RCC shall take all steps in streamlining research centre activities, including framing and revising guidelines, counseling of scholars, framing calendar for research center activities and updating records of scholars and all the departmental research centers across the institute. The committee shall review progress of the research centre activities twice a year.

2.2 Research Advisory Committee (RAC)

Research Advisory Committees (RAC) shall be constituted in all departments in line with the Direction 11 & 34 of 2023 issued by the University. This shall consist of:

- a. Principal – Chairman (He may nominate suitable senior supervisor for the meetings)
 - b. Two research supervisors from six members nominated by the Vice Chancellor.
- Presence of minimum one member is must - Members
- c. Recognized Supervisor of the Ph.D. Scholar – Member

In addition to the above members, the Chairman of RAC can co-opt additional members who are approved supervisors in relevant subjects for the smooth working of the activities at the research center.

Head of the department shall coordinate meetings of Research Supervisor Allocation Committee (RSAC). The RSAC shall allocate supervisors to deserving candidates.

Since the committee is required to give valid inputs to candidates, all approved supervisors shall attend the meetings of committee.

2.3 Research Center(RC) Coordinator

RC Coordinator shall be a [senior](#) faculty member [with Ph D](#), nominated by the HoD for smooth coordination of research centre activities pertaining to the department. Coordinator shall maintain records of research scholars, arrange and intimate the schedule of PhD progress seminars, pre-submission seminars, etc. to the RAC members

and remind scholars of any shortfalls in documents required to be submitted to the department(RC), and shall compile information related to research scholars required by college/department from time to time.

2.4 Indiscipline Behavior and misconduct of Scholars:

The following acts shall be considered as indiscipline behavior /misconduct of the research scholars in addition to the acts described in the section 18 of Direction 6 of 2021. In all such cases the action shall be initiated against such scholars as per the provisions of the direction.

- 1) Not reporting to the six-monthly progress seminar without intimation.
- 2) Not reporting to the guide even once during every six month (if reported by guide).
- 3) Publishing research work without the permission of the supervisor(s).
- 4) Publishing the plagiarised documents related to his/her PhD work to any publishers.
- 5) Applying for the patent or copyrights based on the research work without informing the supervisor and the research center.
- 6) Not submitting the copies of required documents like six monthly progress reports, relevant RC formats, copies of the research work published, etc. to the RC coordinator in due time.

2.5 Ethics to be followed during the PhD Work:-

- a. No publication of PhD work without knowledge of the Supervisor.
- b. To mention the Name of Research Center in every publication.
- c. Proper citation of previous researcher work in the publication.
- d. Plagiarism percentage from single research paper should not be more than 3% and overall plagiarism in the research paper within 10-15% from authorized software of YCCE.
- e. In Research publications preferably names of Research Scholar and Supervisor/s only should be mentioned. Only in special circumstances/support additional names may be included. Permission of Supervisor for inclusion of additional names is mandatory.
- f. Before thesis submission plagiarism check is must.
- g. Same Research work/paper should not be submitted to multiple publication house. Only after rejection from one publication house it should be submitted to other publication house.

3.0 Coursework details

The coursework to be undertaken by the research scholars after admission shall be as per the section 19 of Direction 27 of 2021 and the related guidelines issued by the RTM Nagpur University .

A. Research Methodology Course Work (6 Credits)

A. Faculty of Science and Technology

Type	SN	Course Code	Course Name	SME Name	Institute	Course Duration	Credits	To be conducted by
A	1	PDCWST1A	Research Methodology OR	Dr. Soumitro Banerjee	IISER Kolkatta	12 Weeks	3	NPTEL
		PDCWST1B	Qualitative Research Methods	Dr. A. Malik	IIT Kharagpur	12 Weeks	3	NPTEL
	2	PDCWST2A	Introduction to Research OR	Dr. Pratap Haridosa	IIT Madras	08 Weeks	2	NPTEL
		PDCWST2B	Roadmap for Patent Creation	Dr. Gauri Garghate	IIT Khargpur	08 Weeks	2	NPTEL
	3	PDCWST3A	Introduction to Professional Scientific Communication OR	Dr. Ganesh	IIT Kanpur	04 Weeks	1	NPTEL
		PDCWST3B	Patent Drafting for Beginners OR	Dr. Firoz Ali	IIT Madras	04 Weeks	1	NPTEL
		PDCWST3C	Effective Writing	Dr. Binod Mishra	IIT Roorkee	04 Weeks	1	NPTEL

1. This course work worth 6 credits (One course from each S.N. course i.e 3 +2+1 = 6)is completely in online mode by using portal of SWAYAM/NPTEL.
2. The Scheme of Examination and Teaching in case of online courses is prescribed by the SWAYAM/NPTEL. One needs to register on the portal for the courses.
3. Annexure-I prescribes faculty wise list of courses with internal choice (s).
4. SWAYAM/NPTEL platform is indigenously developed by seven IITs and IISc together under the umbrella of Ministry of Education, Govt. of India. Website address of NPTEL is www.nptel.ac.in and SWAYAM has its website address as swayam.gov.in.
5. SWAYAM-NPTEL platform has its own assessment system consisting of CIE* (25 marks) and SEE# (75 marks). For successful completion, min. 10 marks in CIE and 30 in SEE are required. SEE is a proctored exam which is conducted at designated centres at national level. Nagpur is one of such centres for SWAYAM-NPTEL exam. But for PhD course work completion, candidate should score min. 55% marks (50% in case of reserve category) as given in the direction.
6. SWAYAM-NPTEL charges fee of Rs. 1000/- (500/- for SC/ST) for conducting proctored examination and certification.

*CIE: Continuous Internal Evaluation #SEE: Semester End Examination (Proctored Exam)

B. Seminar (2 Credits)

1. Candidates are expected to deliver a presentation based on the literature survey/research topic. This presentation will be of 100 marks.
2. Format Literature Review-1 (LR-1), given in the annexure is to be used for presentation.
3. The presentation is to be made before the Research Advisory Committee (RAC), preferably during first progress seminar.
4. Minimum 25 relevant research papers from refereed journals must be elaborated in the presentation on literature survey.
5. Following Rubrics table shall be used for the evaluation of candidate:

Name of Place of Research:						
Department/Branch:						
SN	Name of Candidate	Registration no.	Parameters			
			Contents 30	Quality of References 50	Communication 20	Total 100

C. Program/Deptt. Specific Courses (4 Credits)

1. These courses worth 4 credits are to be selected in consultation with the supervisor(s). Courses of NPTEL in online mode are to be selected.
2. Single course of 4 credits (60 hrs) or two courses each of 2 credits (30 hrs) may be offered.
3. Score cards/marklists of the completed courses must be submitted to the research center coordinator of respective department in the prescribed format for further submission to Controller of Examination (CoE) office for publication of result.

D. General Guidelines:

1. PhD scholars have to submit the Registration form in every semester to MIS office with mention of courses written in the registration form.
2. The entire Pre Ph.D.- Course Work will be carried out under the guidance and monitoring of Head, Place of Research & Supervisors.
3. Head, Place of Research shall appoint a coordinator to look after day-to-day activities.
4. The Place of Research Work shall provide necessary infrastructure for conducting course work viz. the well-equipped classroom, computing facility, library, etc.
5. For the completion of course work candidate must score 55% marks or equivalent grade (see Annexure-II) in the examination of concerned course work.
6. The letter certifying the final score card must be signed by the supervisor & co-supervisor (if any) and shall be forwarded along with the attested copies of score

cards obtained online (SWAYAM/NPTEL) and offline, by the Head, Place of Research to the PhD Cell of University. Refer Annexure-III for the format of final certificate.

7. Place of research shall maintain all the records of Pre PhD – Course Work for future reference.
8. @ The term “final” is used because the candidate is going to receive course wise certificates (online), taking all such certificates into consideration, final certificate worth 12 credits will be issued by Head, Place of Research.

On completion of the NPTEL coursework all candidates shall deposit copy of the mark sheets and certificates to the coordinator.

After earning all the credits, Head, Place of Research will issue the Statement of Marks in the following format:-

Annexure - III



RASHTRASANT TUKADOJI MAHARAJ NAGPUR UNIVERSITY, NAGPUR

Statement of Marks

(Pre – Ph.D. Course Work – Academic Session 20----20----)

Name of Candidate: -----

Roll Number: -----

SN	Course Name	Course Code	Total Marks	Marks Obtained	Grade/GP	Credits	Remarks/ GPV
A	Research Methodology	PDCWST1	75			3	PASS/FAIL
		PDCWST2	50			2	
		PDCWST3	25			1	
B	Seminar	PDCWST4	50			2	
C	Program Specific Course	PDCWST5	50			2	
		PDCWST6	50			2	
Total			300			12	

- 1 credit is equal to 25 marks.

Aggregate Percentage: -----

Supervisor

Co-Supervisor

Head, Place of Research

Grade Conversion Table

Sr. No.	Letter Grade	Grade Point	Range of Marks obtained out of 100 or equivalent fraction	Performance
1	O	10	Above 90 upto 100	Outstanding
2	A+	9	Above 80 upto 90	Excellent
3	A	8	Above 70 upto 80	Very Good
4	B+	7	Above 60 upto 70	Good
5	B	6	55 to 60	Pass
6	F	0	Below 55	Fail
7	AB	0	Absent	Absent

Appendix –A
Research center formats

Literature Review-1 (LR-1)

Review report from _____ to _____ (mention dates)

Name of Scholar:

Name of Guide:

Topic of Research:

Department:

S.N	Authors, title of paper, Details of journal/conference, page nos	Important findings	Linkage to objectives of research undertaken by the scholar

Remarks of the Guide:

Date and Signature of Guide

Yeshwantrao Chavan College of Engineering, Nagpur
Supervisor Allocation

Name of Department:

Date:

Ph.D.

S.N.	Name of Scholar	Name of Supervisor allotted	Signature of Supervisor Allotted	Tentative Title of Research

Names and Signatures of RAC Members

Yeshwantrao Chavan College of Engineering, Nagpur
Pre-Registration Seminars

Name of Department:

Term : Jan/July 20xx to June/Dec 20xx

Ph.D.

S.N.	Name of Scholar	Name of Guide / Co-Guide	Title of Research	Signature of Guide /Co- Guide	Remarks (Approved / Approved with corrections / Not Approved

Note: To be used as landscape

Names and Signs of RAC Members

Date

Forwarded to the Head of the Department.

Yeshwantrao Chavan College of Engineering, Nagpur

Slip for payment of fees

**Ph.D.
New Admission**

Name of Scholar :

MGI/Non MGI :

Department :

Total Fees Due

Term	Amount
Registration	
Term Fee	
Total Amount	

Date :

Name and Signature of Coordinator

YCCE Progress Report Format**Name of the Department:****Progress report period From :Jan/July 20xx****to :June/Dec 20xx**

Name of the Research Scholar	
Name of Research Supervisor	
Name of Co-Supervisor	
Date of Registration for Ph.D. Degree	
Title of Research work	
Date of Previous Six monthly Seminar Delivered	
Details of Current Seminar (Attach copy of presentation)	Date:
No. of Papers published since last progress Seminar (Attach Copies of all papers)	
No. of Papers published since the Date of Registration	

Meeting Details of PhD Scholar with guide on fortnight basis

S.N.	Date	Mode of Meeting (Online/Offline)	Discussion points	Outcome expected
1				
2				
3				
⋮				
⋮				
12				

Signature of Scholar

Date:

Remarks by RAC:

SN	Name of RAC Member	Signature
1		
2		
3		

Names and signature of RAC members

Yeshwantrao Chavan College of Engineering, Nagpur

Six- monthly Progress Seminars

Name of Department:

Term : January 20.. – July 20.. /July 20.. – January 20..

Ph.D.

	Name of Scholar	Date of Registration	Seminar No.	Name of Guide	Signature of Scholar	Signature of Guide/ <u> </u> Co-Guide/ <u> </u> Faculty Advisor	Progress Satisfactory / Unsatisfactory	Special Instructions to Scholar (If Any)

Note: to be used as landscape

Names and Signatures of Members of RAC

Date

To
The Director R&D
Yeshwantrao Chavan College of Engineering
Nagpur

Sub: Pre-submission Seminar of Mr./Ms_____

Dear Sir

I have been working for Research work on _____(title of thesis) in the department of _____, Yeshwantrao Chavan College of Engineering, Nagpur. The date of registration is _____.

My guide is satisfied with the research output and considers the work to be sufficient enough for submission of thesis to the University. My progress details are given in the attached sheet. I request you to arrange a Pre-submission seminar as per the college guidelines. I will prefer _____ dates for the seminar.

Date:

(Name and signature of the scholar)

Consent by the Guide, Co-Guide :

Signature of Guide

Signature of Co- Guide

Progress Sheet

(To be submitted alongwith request for conducting pre-submission seminar. Attach copies of all the papers published and the proof related to indexing as mentioned.)

Publication Details		
IJ/IC/ NJ/NC	(Include title, names of co-authors, Journal/Conference Details, Page nos., Indexing Information)	Indexing Information (SCOPUS/ SCI/WOS/ UGC)
Dates on which Progress Seminars were Delivered		
1st		
2nd		
3rd		
4th		
5th		
6th		
Details of Credit Courses Completed (Attach Certificates)		
Any other information		

(Scholar Name & sign)

(Guide Name & Sign)

RC - 7

Yeshwantrao Chavan College of Engineering, Nagpur

Report of Pre-submission Seminar

Name of Scholar:

Title of Thesis :

Name of Guide:

Department:

The Departmental Research Committee attended the Pre-Submission seminar delivered by the scholar, reviewed his/her publications and other contributions. The committee unanimously decides

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

To permit the scholar submission of Summary Sheet / Thesis

That minor corrections / additions are necessary before submission

Rejects the submission of thesis at this time

(The RAC is expected to tick in the box)

Name	Designation	Signature
	Chairman	
	Member-1	
	Member-2	
	Member-3	

Names and signatures of RAC Members with date

Format for compilation of progress information of registered scholars*(To be compiled by RC Coordinator after Six Monthly Progress Seminars)***Name of Department:****Progress Report for Jan/July 20xx to Jun/Dec 20xx**

SN.	Name of Scholar	Date of Progres Seminar	Number of Publications during last six months				Indexing Information (SCI / SCOPUS /WOS/ UGC)
			IJ			NC	
1.							

Name & Signature of coordinator with date:

Name & Signature of HoD

Proforma for course work completion

Name of Scholar:

Name of Guide:

Name of Department:

Date of admission in YCCE:

Date of Registration of scholar:

Details of course work

Activity	Details of activity	Remarks if any
Literature Review	<i>(Mention no. of papers reviewed.)</i>	
Mandatory course work by the University	<i>(attach certificates if any)</i>	
Course work on Research Methodology	<i>(Give details of programmes attended, attach certificates if any)</i>	
Course work on Quantitative Methods of Computer Applications	<i>(Give details of programmes attended, attach certificates if any)</i>	
Progress seminars delivered	<i>(Give details including dates of progress seminars)</i>	
Any other activity	<i>(Give details of any other activity which can be treated as part of course work)</i>	

Certified that the above information is true to the best of my knowledge.

Date:

Name & Signature of Guide

Counter signature of Co-Guide

Signature of the scholar

 Submitted to the Director R&D, YCCE

Through HoD _____ Dept.

Proforma for recommendation of submission of thesis

Name of Scholar:

Name of Guide:

Name of Department:

Date of admission in YCCE:

Date of Registration of scholar:

Details Activities

Activity	Details of activity	Remarks if any
Progress seminars delivered	<i>(Give details including dates of progress seminars)</i>	
Course work details	<i>(Give details of course work carried out as per relevant direction issued by the University)attach certificates</i>	
Research Centre Fees paid	Applicable Fees: Fees Paid : (Attach no dues certificate issued by the accounts section)	
Technical papers published	<i>Attach list of papers</i>	
Plagiarism Check on the thesis	<i>Attach Report from Anti plagiarism software</i>	
Departmental Research Center Formalities done		

Recommendation by Guide:

Signature of Guide:

Forwarding remarks by HOD to Dean R and D:

Signature of Chairman RAC:

Recommendation by Director R and D:

The scholar may please be issued no dues certificate and permitted to submit the thesis / not recommended at this time due to _____.

Signature of Coordinator

Signature of HoD

Date:

Signature of Director R&D

Report of Plagiarism Check

(Note: Overall similarity score should not exceed 10%)

Name of Scholar:

Name of Supervisor:

Date of last check:

Report

Chapter No.	Chapter Title	Similarity Index	Internet Sources	Publications	Student Papers

(attach 1st page and last page of Plagiarism Software)

Name & Sign of Scholar

Name & Sign of Supervisor

Yeshwantrao Chavan College of Engineering, Nagpur
Research Publication Division - 2023

STANDARD OPERATING PROCEDURE (SOP)

Dr. U. H. Gawande, Dean R and D
Dr. Snehal P. Gawande, Assistant Dean, Research Publication Division

SN	Activities	Responsibility	Duration
1.	Circulation of the list of SCOPUS and WOS indexed active Journals and conference proceedings of current year and the list of journals and conference proceeding which are inactivated in the last year to the department.	Asst Dean, RP	Feb of every year
2.	Circulation of the list of co-authors for joint publications with reputed NIRF and interdisciplinary institutions.	Asst Dean, RP	Feb of every year
3.	Distribution of the publication targets to the individual faculty member as per their expertise and experience to be included in Faculty AWL Target Sheet (individual and joined)	HoD	January-February
4.	Organization of the awareness session for effective paper writing for new faculties and PhD scholars	Dean, R&D and Asst Dean, RP	March of every year
5.	Circulation of the call for book chapters and reputed conferences to respective faculties (streamwise)	Dean, R&D and Asst Dean, RP	Throughout year
6.	Providing guidelines for Student publications	Project Supervisor, HoD, Asst Dean, RP	In the month of March (Before submitting their thesis)
7.	Submission/Acceptance/Presentation of the papers to Identified Journals/Conferences after plagiarism check through turnitin software after validation of indexing	Dean, R&D and AsstDean, RP	Till 31 October 2023
8.	Reviews of the faculty publications	Dean, R&D and Asst Dean, RP	End of Every month
9.	Details of all the published research work to be submitted at the Department office and Office of Dean R&D for records.	HoD and respective faculty	End of Every month

10.	Validation and Recommendation of the incentives for all those papers published in the peer reviewed journals/Book chapters/Books as per the policy	Dean, R&D and Asst Dean, RP	End of December
11.	Validation and Reimbursement for APC charges to Open access journal as per policy	Dean, R&D and Asst Dean, RP	End of December

Note:

1. It is mandatory for every faculty member of YCCE to publish his/her individual paper.
2. The paper should be submitted, accepted as well as published in respective journal/conference proceeding (online) **before 31 October 2023.**
3. It is mandatory for all M-Tech students and PhD scholars (Outside YCCE and registered at YCCE center) to publish their individual papers.
4. The papers written by M-Tech students and PhD scholars should also get submitted/accepted/published in respective Journal/Conference proceeding **before their thesis submission.**
5. All the papers must be only published in **SCOPUS or WoS Journal/Conference.**
6. All publications should be published with affiliation "**Yeshwantrao Chavan College of Engineering, Nagpur**"



Principal,
Yeshwantrao Chavan College of Engineering
Hingna Road, Wanadongri,
Nagpur - 441110



Meghe Group of Institutions
Standard Operating Procedure (SOP)
Seed Fund for Startup

MGI/YCCE TBI Foundation/ 2019-20/SOP/

8th January 2020

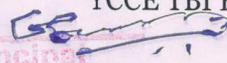
Standard Operating Procedure for Disbursement of Funds allocated under Seed Fund for Startup

The direction will be applicable for disbursement of funds for i) In-house Innovative Product Development ii) Intellectual Property Right iii) Startup Registration iv) Promotion of innovative product and Startup activities.

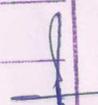
1. **Eligibility Criteria:** The idea should be innovative and prominent for commercialization. It should be registered at YCCE TBI Foundation after duly approved by review committee.
2. **Application Process:** The application form is required to be downloaded from YCCE website and should be submitted to YCCE TBI Foundation. It is mandatory to mention details of budget and funds utilization with proper reasoning.
3. **Selection Process:** All the applications received will be reviewed by Selection and Expert committee of YCCE TBI Foundation. The constitution of said committee is Mentor from Meghe Group of Institutions (MGI), Head of Department, General Secretary of YCCE TBI Foundation, Principal of YCCE and MGI Authority. Recommended innovative idea will be considered for Seed Fund support and the amount will be approved. The decision of Selection and Expert committee will be final.
4. **Approval of Management:** The selected proposals will be submitted by YCCE TBI Foundation for approval of Hon'ble secretary, NYSS, Nagpur.
5. **Incubation and Seed Fund Agreement:** The applicant is required to sign an Incubation and Seed Fund Agreement with YCCE TBI Foundation. The applicant is also required to refer the details of agreement prior to applying for YCCE TBI Foundation.
6. **Disbursement of Funds:** The approved amount by Hon'ble Secretary, NYSS, Nagpur will be disbursed to bank account of YCCE TBI Foundation (Bank of India, Hingana, A/c No. 876620110000235).
7. **Utilization of Funds:** All the procurements are required to be done through MGI inhouse purchase department and respective payments will be made from account of YCCE TBI Foundation. The contingency expenses/miscellaneous expenses up to INR 5000 will be made by cash upon proper approval from YCCE TBI Foundation and Principal, YCCE. It is mandatory for incubatee to maintain books of accounts and quarterly submission of the same to YCCE TBI Foundation.
8. **Monitoring and Review of Funds:** Quarterly audit of accounts and progress review shall be conducted by Expert committee of YCCE TBI Foundation. It is mandatory for incubatee to maintain and submit progress report every month. YCCE TBI Foundation will have rights to warn and /or terminate incubatee if any discrepancies or irregularities found during the incubation period. After termination of any incubatee, remaining allocated funds will be available and considered for reallocation to new applications.

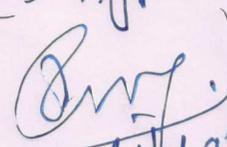
The Incubation Policy of Meghe Group of Institutions is applicable to the considered proposals.

Dr. S.S.Khedkar
General Secretary
YCCE TBI Foundation


Principal

Administrative Officer
Dr. S.S. Khedkar

Y.C.C.E., NAGPUR	
Outward No	120
Date	14/Jan
Signature	

OK → Affirmed

11/1/2020

Yeshwantrao Chavan College of Engineering, Nagpur
Research & Development Cell - Funding Proposal Division - 2023

STANDARD OPERATING PROCEDURE (SOP)

Dr. U. H. Gawande, Dean R and D

Dr. Yogita Chitriv, Assistant Dean

SN	Step	Person	Duration
1.	Circulation of the database of funding schemes and funding agencies to all departments, to finalize the targets of the funding proposals in that academic year	Asst Dean, FPD	At the beginning of every year
2.	Distribution of the targets to the individual faculty member as per their expertise and experience to be included in Faculty AWL Target Sheet	HoD	January-February
3.	Organization of the awareness session for various research and non-research-based funding schemes	Dean, R&D and Asst Dean, FPD	Feb of every year of every year
4.	Organization of the concept note writing workshop for internal faculty who would be submitting research-based funding proposals	Dean, R&D and Asst Dean, FPD	1 st week of March, every year
5.	Inviting concept note of the funding proposal to be submitted for evaluation	Dean, R&D and Asst Dean, FPD	2 nd week of March, every year
6.	Submission of Concept note by the Faculty to the funding proposal Coordinator of the department for internal scrutiny	Faculty and Funding Proposal Coordinator	Last week of March, every year
7.	Review of Concept note submitted by Faculty and informing it to PI/Co PIs	Funding Proposal Coordinator and Internal RAB	2 nd week of April, every year

8.	Submission of Revised/Corrected Concept note based on the suggestion by review committee	PI/Co-PI	4 th week of April, every year
9.	Review of corrected Concept Note by Internal RAB and informing it to PI/Co PIs	Funding Proposal Coordinator and Internal RAB	1 st week of May, every year
10.	Preparation of Draft Proposal as per the scheme document of the funding Agency	Faculty	4 th week of May, every year
11.	Before submission of the final proposal the PI should approach the industry for collaboration in terms of financial assistance, usage of infrastructure facilities, expertise, etc.	PIs and Co PIs	1 st week of June, every year
12.	Approval of the final proposal from the Internal RAB and Funding Proposal Division, R and D Cell before submission to any funding agency	Internal RAB and Funding Proposal Division, R and D Cell	2 nd week of June, every year
13.	Updating database of various funding schemes	Funding Proposal Division, R and D Cell	Regular
14.	Circulation of Call for proposal	Funding Proposal Division, R and D Cell	Regular

Note:

- Proposal submitted directly to any funding agency without going through review process will be considered as Not Achieved in AWL
- Proposal Submitted Status at the time of AWL Audit will be considered as Not Achieved in AWL
- Proposals with Provisionally Accepted for Evaluation, Under Review, Under Processing, Mask Reject will be considered as Partially achieved in AWL
- Proposal Approved will be considered as Achieved in AWL
- The achievement of funding proposal submission will be evaluated on case-to-case basis, considering various factors like, call for proposal, date of submission, response received from the funding agencies, etc.
- Readiness with Internal review of the concept note on or before June of every year will only be considered towards AWL.



(Handwritten Signature)

Principal,
Yeshwantrao Chavan College of Engineering
Hingna Road, Wanadongri,
Nagpur - 441110



Yeshwantrao Chavan College of Engineering, Nagpur

Research & Development Cell - Intellectual Property Right Division -

2023

SOP for Application of Patents and Copy Rights

The document is intended to develop a Plan for Total Quality Management of the process of Application of the Patents and Copyrights at YCCE.

The proposed steps and the time duration intended towards the same are as follows

Patent

S No	Step	Person	Duration
01	Call from IPR cell will be emailed to all the concerns	Asst Dean, IPR, R and D	Feb of every year
02	Application Received From the inventor in soft copy (Complete specifications)	Inventor	March of every year
03	Confirmation Email sent to the inventor towards the receipt of the proposal in prescribed format (Form no. 2) and Forwarding to the Review committee	Coordinator, Patent	Within 48 hrs of receipt of the proposal From inventor
04	The expert review meeting will be conducted for submitted patent applications.	Asst. Dean, R&D - IPR, Patent Coordinator and review committee	April of every year
05	As per the recommendation of review committee, Patent applications will be forwarded to the attorney for the initial search	Asst. Dean, R&D - IPR and Patent Coordinator	Within 48 hrs of recommendation received from review committee.
06	Initial search (Prior art) will be carried out and patent search report with commercial viability estimation report will be prepared and sent to IPR Cell	Attorney	6 weeks from the receipt of proposal by attorney
07	Patent search report with commercial viability estimation report sent to inventor along with suggestions of attorney	Asst. Dean, R&D - IPR and Patent Coordinator	Within 48 hrs of receipt of Patent search report from attorney
08	Inventor provides modified patent application as per attorney suggestions.	Inventor	1 week from the date of receipt
09	The approval for final drafting and filing provided to attorney along with modified patent application	Asst. Dean, R&D - IPR	Within 48 hrs of receipt of modified patent application

			from Inventor
10	Final drafting of patent application along with supportive documents/ the prepared documents sent to IPR Cell, YCCE	Attorney	4 weeks from the receipt of approval by the IPR Cell
11	Final draft of patent application and supportive documents sent to inventor for final consent	Patent Coordinator	Within 48 hrs of receipt of final draft of patent application from attorney
12	Approval of Filing will be communicated to attorney as per consent of inventor	Asst. Dean, R&D – IPR and Patent Coordinator	Within 48 hrs of receipt of consent from Inventor
13	Submission of patent application along with all documents to respective patent office	Attorney	2 weeks from the receipt of approval from IPR cell
14	Invoice sent for attorney charges and official fees incurred in filing of respective patent application. (separate invoice for each patent application)	Attorney	1 week from the date of submission
15	Approval of management for release of payment	Management	1 week from receipt of invoice
16	Approval be sent to finance department for release of payment against respective invoice	Asst. Dean, R&D – IPR and Patent Coordinator	Within 48 hrs of receipt of approval from management
17	Release of Payment	Finance Department	1 week from the date of approval
Note: Filing of all patents need to be done by July/August of every year			
18	Publication of Patent in the Gazette	Patent office	4 weeks (Early Publication) from filing date
Note: Patents must be published by Dec of every year			
19	Receipt of First Examination Report (FER) from patent office through patent attorney	Patent office	Maximum 2 years from the date of publication
20	Approval mail sent to patent attorney for drafting and filing of response against first examination report	Asst. Dean, R&D – IPR and Patent Coordinator	Within 48 hrs of receipt of FER
21	Preparation and submission of response against First Examination Report	Attorney	8 weeks from the receipt of approval
22	Approval Email be sent to finance department for release of payment of the attorney and processing fees regarding FER response filing	Asst. Dean, R&D – IPR and Patent Coordinator	Within 48 hrs
23	Release of payment as per management approval	Finance Department	1 week from the approval

24	Hearing will be attended (If Hearing notice received from Patent Office)	Attorney	As per schedule provided by Patent Office
25	Approval Email be sent to finance department for release of payment of the attorney regarding hearing meeting	Asst. Dean, R&D - IPR and Patent Coordinator	Within 48 hrs from the approval
26	Release of payment with management approval	Finance Department	Within 48hrs after receiving the email
27	Grant of Patent	Patent office	Approximate 3 year from the date of patent filing

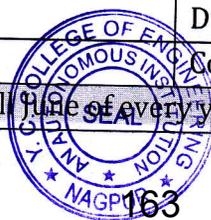
Note: The faculty inventor is considered as the key responsible person for filing of patent application hence all the respective communications will be made with only faculty inventor. Also, if review committee gave modifications or rejections, in such case the modified or new patent application is required to be submitted by the respective faculty inventor.

Copyright

The proposal steps and the time duration intended towards the same are as follows

S No	Step	Person	Duration
01	Applicants prepare the literally work to be copyrighted and check the plagiarism	Applicant	1 week of March every year
02	literally work received from Applicant in soft copy	Department Copyright Coordinator	Confirmation Email sent to applicant within 48 hrs of receipt of application
03	Approval will be provided to applicant for submission of copyright to the Indian Patent Office	Copyright Coordinator and Dept. review committee	1 week
04	The application will be submitted along with respective official fee	Applicant	1 week (after receiving approval from IPR cell)
05	Submission of application for reimbursement of official charges incurred along with official receipt of payment to IPR Cell	Applicant	1 week (after submission of application)
06	Approval of reimbursement from the authority	Copyright Coordinator	1 week
07	Release of Payment	Finance Department	1 week
08	Final issuance of Copyright	Copyright office	6-8 months

Note: All copyrights must be filled till the end of every year



Principal,
Yeshwantrao Chavan College of Engineering
High Road, Wananagri,
Nagpur- 441110

NOTE

01st August 2023

Sub: Approval for Procurement and Renewal of Turnitin (Plagiarism Software)

Looking towards the faculty/students publications and its quality need, we have been continuously using Turnitin Plagiarism check software authentically since last two years, exclusively for YCCE. The earlier subscription is valid till 18 August 2023. For, the huge database of YCCE faculties and students, continuation of Turnitin login is needed, so that every departmental faculties and students will get an easy access for plagiarism check. A Tax Quote of Growth plan for renewal is send by Turnitin which has quoted Rs. 5,20,787.62 /- annually (Excluding 18% GST). Including GST the total amount quoted is Rs. 6,14,529.39 /- annually. This will provide 1650 number of users including Faculties, PhD scholars, PG students and Final year UG students. The total number of papers that can be checked yearly are 4950. The mail received from the Turnitin is attached herewith for the kind reference.

It is requested that Rs. 6,14,529.39 /- (Including 18 % GST) may please be approved for the procurement and renewal of Turnitin Software.


Dr. S.P. Gawande
Assistant Dean (Research Publications)




Dr. Ujjwala Gawande
Dean (R & D)

Through

Dr. U. P. Waghe
Principal, YCCE

Encl: 1. Turnitin Mail
2. Tax Quote

may be approved


01.08

Chief Advisor, MGI



Nagar Yuwak Shikshan Sanstha's

Yeshwantrao Chavan College of Engineering

(An Autonomous Institution Affiliated to Rashtrasant Tukadoji Maharaj Nagpur University)

Hingna Road, Wanadongari, Nagpur-441110

NAAC Accredited with 'A++' Grade

Ph. : 07104- 295083, 295085

Website : www.ycce.edu , Email : principal@ycce.edu

Declaration by the Head of the Institution

I hereby declare that the data, information and support documents attached herewith are genuine and correct to my knowledge.

Dr. U.P. Waghe

Principal

Principal

Yeshwantrao Chavan
College of Engineering
Wanadongri Hingna Road,
NAGPUR-441110

